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Chapter 1: Introduction

Introduction

In conjunction with the implementation of the Foundation Financial Information System (FFIS) at the Agricultural Research Service (ARS) this desk reference, entitled the FFIS Reference and Operating Guide (“FROG”), has been developed to supplement the ARS FFIS Learner’s Guide that was provided during the training. It details Agency-specific uses and operations within FFIS, such as identifying spending chains, budget execution, maintaining vendor tables, performing accounting adjustments, and frequently asked questions.

The FROG is intended to be a dynamic product that will be updated as ARS gains experience in working within the new environment. It will be impacted by future decision-making by the Office of the Chief Financial Officer for Financial Systems (OCFO-FS), the National Finance Center (NFC), as well as ARS.

Continuous feedback is crucial to keeping this document current and useful. Comments and suggestions are welcome and should be provided to the attention of the FFIS Operations Branch, Financial Management Division, via email: ARS-FFIS-FA-@ars.usda.gov.

Note: For system-specific step-by-step instructions, please refer to the FFIS Learner’s Guide.

- Contents of the FROG

This chapter contains brief descriptions of each chapter contained in the FROG as follows:

Topic	See Page
Budget Execution – Chapter 2	3
Accounting Code Classification Structure – Chapter 3	3
Vendor – Chapter 4	3
Spending – Chapter 5	4
SUSF Management – Chapter 6	4
Accounting Adjustments – Chapter 7	4
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- Budget Execution – Chapter 2

This chapter provides guidance on the Agency policies and procedures for establishing budgets in FFIS each year at the various levels of the organization or reporting component and who in the Agency has the responsibility for these functions. The overall Agency appropriation process is described including the interrelationship of the Budget Allocation System (BAS) maintained by the Budget and Program Management Staff to the FFIS process.

- Accounting Code Classification
Structure – Chapter 3

This chapter provides information required to establish the accounting reporting structure in FFIS in order to collect obligation and expenditure information by Agency, Division (HQ/Area/NAL), or program code (accounting code). Specific information is provided on updating the required FFIS reference tables and who has responsibility for this process.

- Vendor – Chapter 4

This chapter provides guidance on maintaining the FFIS Vendor table (VEND) to ensure that all vendors (individuals, Federal agencies, and commercial vendors) are resident on the table so that obligations and payments can be established in FFIS. Specific information is provided on obtaining appropriate information from vendors, adding vendors, and researching vendor information. This chapter should be used in conjunction with the Vendor Training Manual dated March 2001.

- Spending – Chapter 5

This chapter provides instructions on how to execute specific spending activities in FFIS, such as contracts, property leases, major construction, agreements, training, etc. Specific information on the roles and responsibilities for document processing by type of transaction are also included.

- SUSF Management – Chapter 6

This chapter provides guidance for management of the FFIS documents (both direct-entered and feeder-system generated documents) that are reflected on the suspense file (SUSF) in reject status when they are processed in FFIS. Common errors with their resolutions are also provided.

- Accounting Adjustments – Chapter 7

This chapter provides guidance for making accounting adjustments in FFIS; when it is appropriate to perform an adjustment or enter estimates in FFIS and who has authority to do so.

- Salary Lapse – Chapter 8

This chapter documents the process and actions required to effect changes in FFIS budget documents based on salary lapse reporting.

- Reporting – Chapter 9

This chapter identifies the reports that are available from the Financial Data Warehouse (FDW) and the Electronic Information Data System (EIDS) to accomplish funds control and reporting in accordance with Agency policies and procedures.

- Yearend Closeout Activities–Chapter 10

This chapter outlines the various activities that must take place to accomplish the annual yearend closeout. It identifies what the activities are and who has responsibility for executing them.

- Security – Chapter 11

This chapter describes all aspects of security in the FFIS system including requesting access to the system and description of security models that are applied to Agency and NFC personnel to accomplish the various roles and responsibilities within the FFIS system.

- Appendices

The following appendices are located at the end of this guide and provide supplemental information to support the various subjects contained in the FROG.

- Appendix A Frequently Asked Questions
- Appendix B Spending Chains for Direct Entered Documents
- Appendix C ARS Spending Document Numbering Scheme
- Appendix D Source Documents Supporting FFIS Transactions
- Appendix E Budgetary and Financial Regulations and Procedural References
- Appendix F FFIS Table Abbreviations and Full Names
- Appendix G FFIS Transaction Codes, Types, and Categories
- Appendix H Transactions by Responsible Office
- Appendix I Accounting Adjustment Voucher (B2) – Instructions

- Index

A key word index is provided at the end of the FROG to facilitate research of specific subjects or processes.

- Key Systems Administration Functions

There are several functions that are key to the operation and systems administration of the ARS FFIS application. Most of these functions are centralized at Headquarters, but not all. They include Functional Administrator, Security Administrator, Vendor Coordinators, and the ARS FFIS Help Desk.

- Functional Administrator

The Functional Administrator:

- Serves as the contact person for systems issues
- Maintains FFIS reference tables
- Develops and maintains cycle processes including nightly, weekly, monthly, annual, and payroll
- Runs reports on a regular basis and as needed

- Security Administrator

The Security Administrator:

- Assigns FFIS User IDs to authorized personnel based on job responsibilities, thus ensuring that internal controls and separation of duties are in place and guarding against unlawful activities such as unauthorized payment distributions
- Serves as the contact person for the adjusting security projects when a user's access requirements change

- Vendor Coordinators

Vendor Coordinators serve as the contact for additions to Vendor Table and requests for Vendor Table modifications. Each Area NAL/HQ has two designated individuals assigned as Vendor Coordinators.

- ARS FFIS Help Desk

The ARS FFIS Help Desk has been established in the FFIS Operations Branch, Financial Management Division, to provide a central point of contact to respond to various FFIS operations or procedural issues. Complete information on the Help Desk can be found in Bulletin 01-309, “ARS FFIS Support Help Desk Procedures”.

Chapter 2: Budget Execution

• Introduction

Budget Execution is the process of distributing funds acquired through Congressional Appropriations, Funds Transfers and Soft Funds and setting limits on how and for what those funds may be obligated and expended.

• Audience

The following individuals are responsible for performing the steps and procedures outlined in this chapter:

- Servicing Budget and Fiscal Officers (SBFOs)
- Fiscal Specialists/ Assistants
- Area/NAL Budget Analysts/ Assistants/ Technicians
- Location Administrative Offices (LAO's)/ Administration Technician
- FMD Accountants/ Budget Analysts
- BPMS/ Budget Analysts
- RS4/ NFC

Note: For system-related step-by-step instructions, please refer to the FFIS Learner's Guide, Budget Execution module.

- Acronyms

The following is a list of acronyms used in this chapter and their definitions:

- ARIS – Agricultural Research Information System (previously RMIS)
- BAAM – Budget Allocation Area Module
- BAS – Budget Allocation System
- BOC – Budget Object Code
- BPMS – Budget and Program Management Staff
- CRADA – Cooperative Research and Development Agreements (Technology Transfer)
- CRIS – Current Research Information System
- MCF – Major Construction Funds
- NPS – National Program Staff
- OBPA – Office of Budget, Program, and Analysis
- OMB – Office of Management Budget
- RTAS – Reimbursables and Trusts Allocation System
- RMIS – Research Management Information System (now ARIS)
- RS4/NFC – Reporting Section No. 4, National Finance Center

- Documents

The following is a list of FFIS documents used to complete the processes described in this chapter:

- AA – Appropriation/ Apportionment Document (Advice of Allotment)
- PA – Apportionment Approval Document
- BE – Allocation Budget Execution Document
- BL – Allotment Budget Execution Document
- SA – Suballotment Document
- RP – Reprogramming Document
- TA – Appropriation Transfer Document
- TC – Appropriation Transfer Approval Document

- Contents

This chapter contains the following topics.

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Carry Forward Balances for No Year Funds	22
Budget Requirements for Closed Appropriations	23

• Budget Execution

The Budget Execution subsystem in FFIS automates the budget execution process by recording financial authority associated with the ARS budget. These activities include distributing single-year, multi-year, no-year, reimbursable, and trust funds to ARS Area/NAL/Headquarters and monitoring the spending activity against these funds at all budget levels. Activities in Budget Execution include:

- Creating budget levels
- Distributing funds
- Setting limits
- Monitoring the spending and receipt of funds

An FFIS “fund” can represent an appropriation or portion of an appropriation (treasury symbol). FFIS calculates the amount available for a fund differently depending on certain system option settings and the status of the fund (for example, expired and unexpired).

Appropriately authorized fund managers establish and modify amounts budgeted for a fund using the formal budget documents in FFIS.

• Terminology Crosswalk

The following table crosswalks the relevant ARS budget terms to the terms that are used in FFIS.

ARS FFIS Terminology Crosswalk

ARS Term	FFIS Term	Budget Level	Associated FFIS Reference Table
Fund	Fund	Appropriation/ Apportionment	FUND
Area/NAL/Allocation Holder	Division	Allocation	ALOC
Location (4 th Level Mode Code)	Organization Level 1	N/A	ORGN
Lab/Management Unit	Organization Level 2	N/A	ORGN
Management Unit	Organization Level 3	N/A	ORGN
Management Unit/Accounting Code	Program Code	Allotment	PGMT
Object Class	Budget Object Code	Suballotment	BOCT
Fiscal Year	Budget Fiscal Year (identifies year(s) of availability of appropriation)	N/A	FUND
Fiscal Year	Fiscal Year (identifies year in which accounting event is recorded)	N/A	FSYR
Revenue Object Code	Revenue Source Code	N/A	RSRC
Limit Code	Reporting Category	N/A	RPTG
Account Type	Program Type	N/A	PTYP
Project Code	Program Class	N/A	PCLS
Performing Organization Category	Sub BOC	N/A	SOBJ
Congressional District	Sub Organization	N/A	SORG

- Determining Budget Levels

The FFIS Budget Execution module supports multiple levels of funds distribution and spending controls. Budget levels provide a means to delegate responsibilities for portions of given funds. Federal reporting requirements for appropriated funds specify that the appropriation and apportionment levels must be used; all other budget levels are optional. The specific levels used depend on how an agency chooses to distribute funds.

ARS requires that budgets be entered down to the allotment (program) level. Suballotment (BOC) is optional. Funds managers may view the status of activity against budgeted dollar amounts, for both Fiscal Year and Budget Fiscal Year (any of the years in which an appropriation was/is active), through the FFIS Budget Execution Inquiry tables.

Every budget level:

- Represents a budget distribution hierarchy
- Must include the budget elements of the level above it

The budget levels ARS uses in FFIS are described in the following sections.

- Appropriation

Congress grants government funds to agencies in the form of appropriations. ARS records the appropriation by fund in FFIS. In FFIS, this budget level is required for every fund code; e.g., direct, reimbursable, etc. See Section 2.5.1 for a complete list.

- Apportionment

Once USDA receives the appropriation from Congress, ARS and other USDA agencies submit a request for the apportionment to the OMB. Apportionment is the distribution made by the OMB of amounts available for obligation or expenditure under an ARS appropriation.

OMB approves the apportionment, and the U.S. Department of Treasury issues a warrant, acknowledging that the funds are available to spend against.

In FFIS, this budget level is required for every fund.

- Allocation

ARS divides the appropriation and apportioned funds amongst its Area/NAL/Headquarter allocation holders, giving those Area/NAL/Headquarter authority to further distribute the funds.

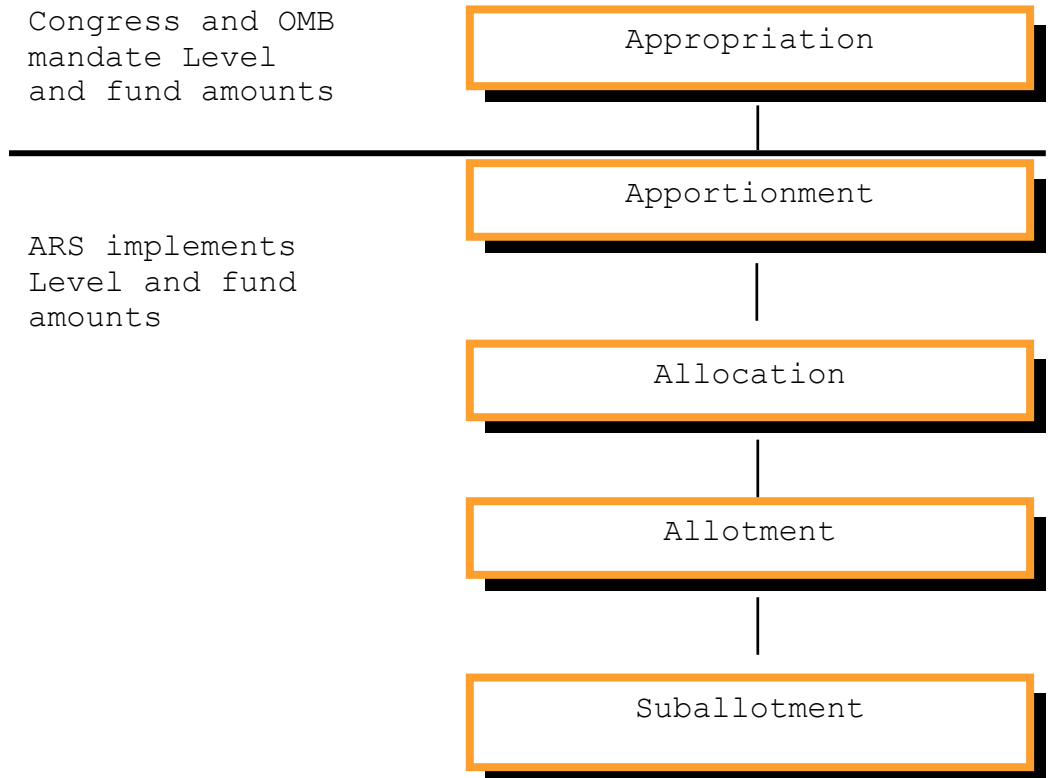
- Allotment

ARS Area/NAL/Headquarter allocation holders allot funds to programs.

- Suballotment

ARS may suballot to budget object codes (BOCs), but this is optional.

- ARS FFIS Budget Levels



- Distributing Funds

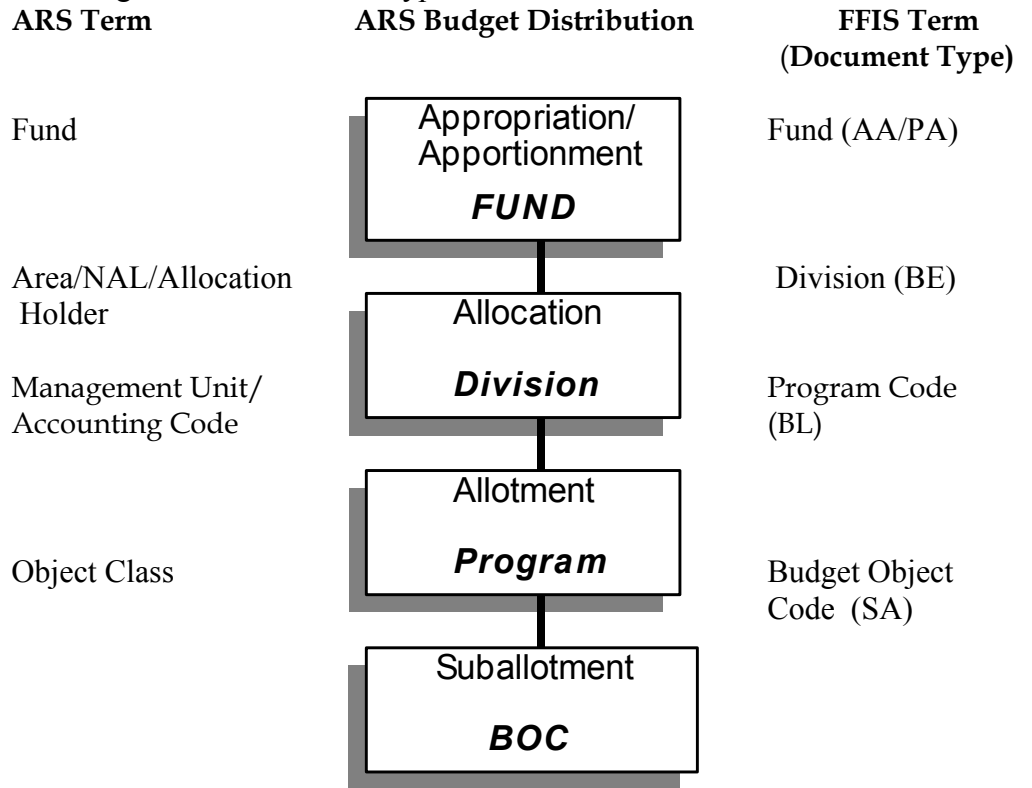
ARS budgets at the Appropriation/Appportionment level and the Allocation level. Once funding has been established for each division (Area/NAL Headquarters), the division distributes the funding to allot and sub-allot funds to the program and BOC levels. The BPMS Budget Analysts enter the AA documents into FFIS. Authorized BPMS personnel enter the PA documents into FFIS.

The BPMS budget analysts enter the BE documents into FFIS to allocate funds to the Division level. BPMS enters and approves all budget documents through the allocation level. BPMS and SBFOs can view the status of their budget in the Appropriation/Appportionment inquiry tables (APPR and APOR) and the Allocation Inquiry table (ALOC). ARS is able to view spending on the Allocation, Allotment, and Suballotment tables by Division. These tables provide ARS fund managers with the total budget received, total spending to date, and remaining balance.

SBFOs enter the Budget Execution document (BL) to distribute funds to the allotment (program code) level. To further distribute funds, the SBFO may enter the Sub-allotment document (SA) to distribute funds to BOC. BPMS personnel can track spending at each level. The ARS budget tables display expended amounts upon document approval and posting.

- Distribution Model

The following diagram shows ARS' budget distribution for each level including the FFIS document type:



• Funds Availability Tables

ARS appropriations are distributed and made available in FFIS budget tables to organizations at the beginning of each fiscal year. This includes all appropriations, executed reimbursements, trust funds, MCF, gifts and bequests, and permits and fees. The ability of the organization to spend these funds is constrained by the amount of each fund available in the budget fiscal year. BPMS monitors all ARS appropriations during the fiscal year. FFIS provides on-line inquiry tables for the budget levels discussed thus far. The FFIS on-line inquiry tables providing status of funds for these budget levels are:

- Appropriation Table (APPR)
- Apportionment Table (APOR)

Appropriation Level Management Staff, FMD is responsible for monitoring the status of funds at the Appropriation fund level and SBFOs are responsible for Allocation, Allotment levels. The FFIS on-line inquiry tables that contain the status of funds for these budget levels are:

- Allocation Inquiry Table (ALOC)
- Allotment Inquiry Table (ALLT)
- Suballotment Spending Control Table (SASP)
- Suballotment Inquiry Table (SAIN)

Location Administrative Officers (LAOs)/ Administrative Technicians, and Accounts Maintenance personnel are responsible for monitoring the status of funds at the allotment (program) and suballotment budget levels. The FFIS on-line inquiry tables that contain the status of funds for these budget levels are:

- Allotment Inquiry Table (ALLT)
- Suballotment Inquiry Table (SAIN)
- Suballotment Spending Control Table (SASP)

• Budget Execution Procedures

This section describes how ARS-specific Budget Execution functions are handled in FFIS.

Step	Action
1	The Office of Budget, Program, and Analysis (OBPA) notifies the ARS Budget Office at USDA (BPMS) that money has been appropriated.

Step	Action
2	The document (called the Advice of Allotment) is sent to BPMS. BPMS receives the Advice of Allotment for every treasury symbol used for appropriated funds.
3	At the time BPMS receives the Advice of Allotment document, the budget analyst enters Appropriation/ Apportionment (AA) documents into FFIS to establish appropriations and apportionments. ARS currently apports on a annual/ quarterly basis.
4	Authorized BPMS personnel enter the PA document into FFIS.
5	When the original budget has been officially approved and entered in FFIS, BPMS will notify the FFIS Functional Administrator.
6	The Functional Administrator will change the <i>Budget Indicator</i> on the Fiscal Year Reference Table (FSYR) to "Y." This change will not allow further updates to the original budget amounts, only to the approved budget amounts. (This affects all funds that fall in the category of General Funds.)
7	BPMS enters the Allocation Budget Execution Documents (BE) to establish allocations at the Division level for each appropriation symbol and fund. (Salary and expense, soft funds, Buildings, Facilities, etc.)
8	BPMS sends out an email to the SBFO when BE documents have been executed in FFIS.
9	SBFOs will distribute funds to lower level organizations. The Budget Execution document (BL) is used to distribute funds to the allotment level (Program).
10	SBFOs enter the Sub-allotment document (SA) to establish lower levels of authority (BOC). The ARS budget tables display expended amounts upon document approval and posting.
11	BPMS sends out emails to SBFO specifying any funding changes or adjustments via the Budget Allocation System (BAS) and Reimbursables and Trusts Allocation System (RTAS) to available funds for direct appropriation and soft funds.
12	At the end of the month, BPMS issues an official hardcopy allocation (705) and enters the changes on BE documents into FFIS

- Fund Codes

The following are the Fund Codes used in the allocation:

Fund Code	Description	Fund Type	Treasury Symbol	Single, Multi or No Year
01	Direct Appropriation	General	12_1400	Single Year

Fund Code	Description	Fund Type	Treasury Symbol	Single, Multi or No Year
02	Hazardous Waste - Dept. Parent/ARS Child	General	12X0500	No Year
07	Department Rental Payments	General	12X0117	No Year
08	Reimbursable	Reimbursable	12_1400	Single Year
42	Transfer Money from USAID for Collaborative Research	General	12X1400	No Year
43	USAID Transfer to ARS for Collaborative Research	General	12_/_1400	Multi - Year (2 years)
44	NAL WIC Training	General	12X1400	No Year
45	Establish Operational Security	General	12X1400	No Year
46	Biosecurity Research	General	12X1400	No Year
48	Animal Welfare	General	12/20115	Multi - Year (2 years)
51	Construction Fund	General	12X1400	No Year
53	Buildings and Facilities - ARS Parent/CSREES Child	General	12X1401	No Year
56	Land Sale Receipt Account	Receipt Account	125221	No Year
57	APHIS Buildings and Facilities - APHIS Parent/ARS Child	General	12X1601	No Year
68	General Fund Proprietary Receipts	Receipt Account	123220	No Year
70	Fine, Penalties, and Forfeitures	Receipt Account	121010	No Year
71	Forfeitures of Unclaimed	Receipt Account	121060	No Year
72	General Fund Proprietary Interest	Receipt Account	121435	No Year
73	Letter of Credit Suspense	Clearing Account	12F3879	No Year
74	Proceeds from Sale of Property	Receipt Account	122624	No Year
84	Collect Cancelled Authority	Receipt Account	123200	No Year

Fund Code	Description	Fund Type	Treasury Symbol	Single, Multi or No Year
87	Concession Fees and Volunteer Services	Trust	12X5279	No Year
88	Patent Culture Collection	Reimbursable	12X1400	No Year
89	Revocable Permits and Easement Collections	Reimbursable	12X1400	No Year
90	Budget Clearing Account (Federal)	Deposit Suspense	12F3885	No Year
91	Technology Transfer (CRADA)	Trust	12X8214	No Year
92	Technology Transfer and Licensing Receipts	Trust	12X8214	No Year
93	Miscellaneous Contributed Funds	Trust	12X8214	No Year
94	Proceeds from Sale of Property	Deposit	12F3845	No Year
95	Gifts & Bequests - Dept. Parent/ARS Child	Trust	12X8203	No Year
96	Budget Clearing Account (Foreign)	Deposit	12F3875	No Year
97	Budget Clearing Account (non-federal)	Deposit Suspense	12F387	No Year
98	Budget Clearing Account (BARD Department)	Deposit Suspense	12F3875	No Year
99	Miscellaneous Fines	Receipt Account	121099	No Year

- Establishing Budget Authority for a New Fiscal Year

At the beginning of each fiscal year, budget documents must be entered at the appropriation, apportionment, and allocation levels before expenditure can be incurred such as payroll.

The new fiscal year Agency appropriation is usually not approved by the Congress and the President by October 1st. Therefore, ARS is usually operating under a Continuing Resolution (CR). For the purpose of establishing budgets for the new fiscal year, ARS will assume that the Agency

appropriation will be at least as much as the previous fiscal year. Based on this dollar level, BPMS will determine the budget levels for the Agency and Division (Area/NAL/Headquarters) for the number of days of the approved Continuing Resolution.

Budget levels for other fund types such as reimbursable and trust funds are determined based on the estimated annual earnings.

The following table shows the FFIS budget levels and which document(s) are used to establish the budget at each level

FFIS Budget Level	Responsible Office	Document Name	Document Description
Appropriation and Apportionment	BPMS	AA	Establishs all appropriations and apportionments in FFIS.
Apportionment	BPMS	PA	Approves funds for distribution.
Allocation	BPMS	BE	The Areas/NAL or allocation holders distributes funds (Divisions).
Allotment	SBFO	BL	Distributes authority to Programs. (Accounting Codes)
Suballotment	SBFO	SA	Distributes authority to BOCs.
Transfer	BPMS	TA/TC	Establish a (TA) pending transfer of appropriated funds in FFIS and approve (TC) to complete the transfer.
Entire Budget Chain	BPMS (or as delegated by the Agency)	RP	Reprogramming Document – used to transfer allocations or levels below.

• Budget Document Numbering Scheme

The following table shows the numbering conventions for all of the budget documents used by ARS.

ARS FFIS Budget Document Numbering Conventions

Document Name	Trans Code	Document Numbering Scheme
Appropriation/ Apportionment Document	AA	<ul style="list-style-type: none"> • Position 1: BFY • Positions 2 – 3: FUND • Positions 4 – 5: Sequential No • Positions 6: Alteration, if necessary
Apportionment/ Approval Document	PA	<ul style="list-style-type: none"> • Position 1: BFY • Positions 2 – 3: FUND • Positions 4 – 5: Sequential No • Positions 6: Alteration, if necessary
Allocation Budget Execution Document	BE	<ul style="list-style-type: none"> • Position 1: BFY • Positions 2 – 3: FUND • Positions 4 – 5: BAS # • Positions 6: Alteration, if necessary
Allotment Budget Execution Document	BL	<ul style="list-style-type: none"> • Position 1: BFY • Positions 2 – 3: FUND • Positions 4 – 7: Location Code • Positions 8 – 9: BAS # • Positions 10: Alteration, if necessary
Suballotment Document	SA	<ul style="list-style-type: none"> • Position 1: BFY • Positions 2: Fund Type, i.e., G, T, etc. • Positions 3 – 9: Last seven digits of Program MU) • Positions 10 – 11: Sequential No

- Working with the Direct Appropriation Allocation Process
-

- Components of the Budget Allocation System (BAS)
-

Data is entered in the Budget Allocation System (BAS) to create budget records for the Agency's direct appropriation. Data criteria necessary to create a budget record is as follows:

- Assigned record number
- Approved date
- Allocation number
- Permanent or temporary transaction
- Special field for reporting purposes
- Indication of FROM and TO with location codes, accession numbers, CRIS numbers, and allocation codes
- Dollar amount
- Indication of CRIS termination
- Description of change being made

Budget records reflect initial approved operating levels, releases and/or transfers of funds to/from locations, areas, HQ, etc. Records are created through manual data entry or electronic input via a process using ARIS (Agricultural Research Information System), formerly RMIS (Research Management Information System).

- Budget Allocation Area Module (BAAM)

The BAAM system was developed to provide up-to-the-minute communication of budget changes to the Areas. The BAAM system allows the SBFOs to retrieve the most recent budget changes affecting their Area and therefore, be apprised of the impact of those changes to their budgets in the most timely manner. There are seven reports available in BAAM including Code, Accession, Location and Area Summary, and Area/Location Accession. These reports allow the Areas to keep current with budget changes as they occur on a daily basis. The system also allows the Areas to print the entire package of Budget Allocation Reports that are mailed out after each allocation is created.

NOTE: When allocating funds, Areas may not enter BL documents until BPMS has entered the higher level budget documents (BE's). The reverse is true when returning (reducing) funds from the program level.

- Direct Appropriation Allocation Process

Releases/transfers are executed daily into the BAS mostly through data collection using ARIS (Agricultural Research Information System), formerly RMIS (Research Management Information System). The Direct Appropriation allocation process is as follows:

Step	Action
1	BPMS receives approval fund transfers in the form of Blue Folders from the National Program Staff (NPS).
2	When the Blue Folders are received, the data is collected via ARIS(formerly RMIS). This process is menu-driven and allows the analyst to create a file in Word Perfect®.
3	This file is converted to a disk and then downloaded into BAS.
4	BAS then takes this data and electronically creates a budget record providing all the details listed above. In addition, if the record involves CRIS termination, BAS creates a temporary record to transfer funds back to the terminating CRIS to cover cumulative obligations incurred in the fiscal year.

Step	Action
5	This data is created in a special holding file and is then moved to the BAS Transaction file. This process is used for releases/transfers between CRIS and locations and Areas/HQ staffs, Area Director Reserves, SBFO transfers (to distribute IRC/SRC, salary lapse, or adjust the BPMS transfer(s) involving CRIS obligations on terminated CRISs), HQ Held Funds, Current Year Increases, Small Business Assessment, etc.
6	Whether records are created electronically or manually, they are proofed and verified for CRIS and accession data, and any discrepancies are resolved.
7	Data is then recompiled and composed for e-mail transmission and NPS transmission.
8	After verifying accuracy, data is transmitted to Areas/NAL/Hq via e-mail and given to the NPS on disk. Data is also copied to BAAM and updated in the BAAM system.
9	BPMS enters BE documents to establish the Appropriation by Fund code and allocation at the division level.

Upon completion of this process, a number of up-to-the minute reports can be run from BAAM. These reports include:

- Code
- Accession
- Location and Area Summary
- Area/Location/Accession
- Salary Lapse
- TUPF
- Current Year Increase
- Contingency
- Repair and Maintenance
- HQ Special

Once a month, an official allocation (hard copy) is issued to all direct fund holders.

For much of the year, BAS is processing data for two fiscal years concurrently. All of the processes of events listed in this section are duplicated when both fiscal years are running with the exception of issuing official allocations. Preliminary and final budget guidelines are issued for the coming fiscal year.

- Linkage with ARIS

While ARIS and BAS contain the same basic data, ARIS does not produce the necessary reports or contain the historical data needed by BPMS. Data in BAS is much more detail oriented, for example, actual budget records in BAS document changes to CRIS numbers, accession numbers, and/or location codes. As previously mentioned, BAS also creates temporary records to cover obligation incurred on terminated CRIS numbers. Also, BAS earmarks funding and without actually releasing it, allows it to be included in certain reports.

- Working with Reimbursables Allocation Process

- Components of Reimbursables and Trusts Allocation System (RTAS)

BPMS enters data in RTAS to create a budget record. Data criteria necessary to create a budget record is as follows:

- Table 78 number and accounting class
- Agreement and transaction entered dates
- Source/cooperator
- Special fields for reporting purposes
- Location and allocation code
- Accession and log number
- CRIS project number
- Description of project
- Assigned record number
- Fields for waiver approval (y/n) and waiver explanation code
- Gross dollar amount, net dollar amount, and IPSC amount or waiver

- Reimbursables Allocation Process

The SBFO staff commit funding in ARIS on executed reimbursable agreements, awarded competitive grants, and receipt of checks on trust fund and CRADA (technology transfers) agreements. Fund commitments are executed daily into the RTAS mostly through data collection from ARIS. The following is the Reimbursables allocation process follows:

Step	Action
1	BPMS collects the data from ARIS by creating an ASCII file that is then converted or transferred to a text file on the PCs hard drive.
2	The text file is then downloaded into RTAS and electronically creates budget records that include all of the details listed above.
3	The records are proofed and verified for accuracy and discrepancies are then resolved.

Upon completion of this process, BPMS can run any number of up-to-the-minute reports for budget reconciliation. These reports include Distribution of Funds, Form AD-705 (Advice of Allocation of Funds), and the Report for Reimbursements, Trusts and Grants by Area, which can be subtotaled by locations, allocation numbers, or sources. Once a month, an official allocation is issued in hard copy to fund holders receiving soft funds and BPMS enters BE documents to allocate funding to the Area (Division) level.

- Working with the Major Construction Building and Facilities Allocation Process
-

Follow these steps when working with Building and Facilities allocations:

Step	Action
1	Upon approval of the ARS appropriation, BPMS enters the “AA” documents in FFIS to reflect the current and prior year carry forward balances of major construction funds.
2	BPMS enters BE documents to drill down the carry forward balances to the Division level.
3	BPMS checks the appropriate FY Appropriations Bill for the authority to spend money on the specified project.
4	BPMS prepares the AD-705 Allocation document that allocates funds to the Area Director’s Office for signature.
5	BPMS prepares supporting documentation for the Area to identify all allocations for that area during the current fiscal year.
6	BPMS attaches the memo requesting funds to the AD-705 and supporting documentation.
7	After AD-705 is signed, BPMS enters the Allocation Budget Execution document (BE) to establish allocations at the Division level.
8	Upon receipt of an allocation, FMD-FOB enters a “BL” document into FFIS at the Area/Location/MU levels and an “SA” document to define budget object codes by program code. Screen print the BL and SA documents for the LOTS file.

- Carry Forward Balances for No Year Funds
-

There are two circumstances where balances from a prior year no-year appropriation carries forward to the new fiscal year: unobligated funds and prior year recoveries.

- Unobligated Funds

At the beginning of a new fiscal year, any funding received in the prior fiscal year in no-year appropriations that has not been obligated, will carry forward to the new fiscal year. It will retain the same program code, but with the new fiscal year designator. For example, major construction (B&F) funds were received in FY 2001 in the amount of \$1.5 million. During FY 2001, \$1 million were obligated. At the beginning of FY 2002, the balance of \$500,000 carries forward and is reallocated as shown below:

FY	BFY/Program Code	Allocated	Obligated	Balance
2001	1/533605801	\$1.5 M	\$1 M	\$500,000
2002	2/533605801	\$500,000		

This will occur for any funding that is available for more than one fiscal year, such as major construction, trust funds, applicable reimbursable agreements, patent revenue, etc. It is imperative that any obligating documents executed after the beginning of the new fiscal year, on carry forward balances, cite the new budget fiscal year designator with the program code.

- Prior Year Recoveries

Prior year recoveries occur when an obligation executed in a prior fiscal year is amended to reduce the obligation total either to indicate final cost of the order/contract or to cancel an obligation all together. An amendment can occur at any time during the fiscal year. As a result, this causes an unobligated balance to occur which will carry forward to the current fiscal year. These balances must be reallocated as well in the current fiscal year to the associated Division/program code. To facilitate the identification of prior year recoveries as they occur, a report will be generated from the Financial Data Warehouse to provide BPMS the information needed to reallocate these funds accordingly.

- Budget Requirements for Closed Appropriations

There are times when an invoice is received from a vendor requesting payment for services provided against a contract that was awarded and obligated in a closed fiscal year; a fiscal year that is older than five years from the current fiscal year; e.g., for FY 2002, FY 1996 and prior are now closed. When this occurs, special actions must take place in FFIS, so that these payments can be tracked back to the respective closed appropriation as follows:

Step	Action
------	--------

1	FMD establishes a new fund to capture payments against the expired appropriation as needed. Currently, a payment has been presented for FY 1996 and as a result, fund 01EXP has been established with Treasury Symbol (T/S)1221400.
2	FMD establishes a new program code on PGMT and DVAL to capture the charges as follows: BFY = the current fiscal year; Program Code = 0EXXXXYYY where the X's signify the 4 th level mode code of the applicable location and the Y's are sequentially assigned numbers; ORG = the applicable location organization; Fund = 01EXP
3	ABFO decreases the BL document for the MU that will be paying the charge and notifies BPMS when they have done so.
4	BPMS reduces the Area Allocation from fund 01 and increases to fund 01EXP via a BE and transfer documents. BPMS notifies the Area when they have done this. NOTE: Controls at the Allocation level have been relaxed from Presence to No Control. The vendor can still be paid if the BE document has not been processed.
5	ABFO creates a BL (and SA if desired) document for the program code established by FMD for the closed appropriation transaction and notifies FORB, S#1, when this has been done. NOTE: Controls at the Allotment level have been relaxed from Presence to No Control. The vendor can still be paid if the BL document has not been processed.
6	FORB, S#1 enters the payment to the vendor via an NO document including the applicable closed appropriation and associated fund code, BFY, program code, BOC, and amount.

Intentionally left blank.

Chapter 3: Working with the Accounting Code Classification Structure (ACCS)

• Overview

ACCS provides a framework for establishing an accounting reporting structure that allows aggregation of spending information from lower levels to the Agency level. This enables accounting reports to be generated from FFIS containing various data elements to facilitate resource management, expenditure tracking and external reporting.

• Audience

The following individuals are responsible for performing the steps outlined in this chapter:

- Functional Administrator
- Servicing Budget & Fiscal Officer

Note: For system-specific step-by-step instructions, please refer to the FFIS Learner's Guide, Overview module.

• Contents

This chapter contains the following topics.

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Using ACCS Fund Coding	5
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Using ACCS Organization Coding	8
Working with ACCS Program Codes	11
Completing Reorganization Changes	21

- Working with Tables
-

- Table Maintenance Responsibilities
-

The primary role of the Functional Administrator (FA) is to maintain the ARS tables within FFIS. Certain tables, however, have been delegated to the SBFO for maintenance. They are:

- PGMT – SBFOs are allowed full access to this table (Add, Delete, and Modify capabilities)
 - DVAL – SBFOs are allowed Add only capability to this table
 - ACXT – SBFOs are allowed Add only capability to this table
- Any changes/deletes required on DVAL or ACXT must be referred to the FA.

• Frequently Used Tables

The following are the most frequently used tables when working with ACCS:

- View Fiscal Year - FSyr
- View funds - FUND, FUN2
- View fund types -FTYP
- View programs - PGMt
- View program types - PTYP
- View program class - PCLS
- View sub objects - SOB
- View reporting categories - RPTG
- View budget object codes - BOCT
- View revenue source codes - RSRC
- View sub-revenue source codes - SREV
- View organizations - ORGN
- View sub organization - SORG
- View divisions - DVSN
- View general ledger accounting - GLBL, GLDB
- View trans code/trans type entries - ACED
- View accounting entries - ACEN
- View default accounting - DVAL
- View accounting structure codes and their crosswalk to FFIS - ACXT

• Fiscal Year Coding

A fiscal year is identified in FFIS by the final two digits of the year. For example, Fiscal Year 2002 is coded **02**. There are two fields that contain fiscal year designations: *Fiscal Year (FY)* and *Budget Fiscal Year(s) (BFY)*.

Fiscal Year - This data element is the year in which an accounting event is recorded regardless of when (the year) the appropriation is received. Each fiscal year is made up of 12 regular accounting periods – one for each month.

Beginning in	October	01
and ending with	September	12

Additional accounting periods are used for year-end closings.
Beginning with period **13**

- Budget Fiscal Year Coding

Budget Fiscal Year(s) - This four-position data element is used in association with an appropriation, or fund, and identifies the **year(s) of availability of the appropriation**. The first two characters represent the **beginning** BFY and the last two characters represent the **ending** BFY, if required. For example, a single year appropriation authorized in 2002 is represented as BFY 02 (this example leaves the last two positions blank). A multi-year appropriation authorized in 2002 and ending in 2003 is represented as BFY 02 03.

- Reporting Category Element

Reporting Category is an additional element of the ACCS used to enhance reporting capabilities for common categories across multiple accounting codes at different organizational levels. (Examples: 10 Small Buildings; 4% Repair & Maintenance; Headhouse/Greenhouse, Unlimited Buildings; Hazardous Waste Cleanup) The reporting category is defined in the Reporting Category Reference table (RPTG) by budget fiscal year.

- Using ACCS Fund Coding

As noted in the “Budget Execution” Chapter Section 2.2, fund codes are used in FFIS for tracking appropriations. Fund codes may represent an entire appropriation or a part of an appropriation. In fact, ARS has instances where multiple fund codes relate to one appropriation or Treasury Symbol. FFIS stores ARS fund codes in the Fund table (FUND) using a two-digit code. The following table of the fund codes ARS currently uses is repeated here (also in Budget Execution, 2.5.1) for your convenience.

Fund Code	Description	Fund Type	Treasury Symbol	Single, Multi or No Year
01	Direct Appropriation	General	12_1400	Single Year
02	Hazardous Waste – Dept. Parent/ARS Child	General	12X0500	No Year
07	Department Rental Payments	General	12X0117	No Year
08	Reimbursable	Reimbursable	12_1400	Single Year
42	Transfer Money from USAID for Collaborative Research	General	12X1400	No Year
43	USAID Transfer to ARS for Collaborative Research	General	12_/_1400	Multi – Year (2 years)
44	NAL WIC Training	General	12X1400	No Year
45	Establish Operational Security	General	12X1400	No Year
46	Biosecurity Research	General	12X1400	No Year
48	Animal Welfare	General	121/20115	Multi – Year (2 years)
51	Construction Fund	General	12X1400	No Year
53	Buildings and Facilities – ARS Parent/CSREES Child	General	12X1401	No Year
56	Land Sale Receipt Account	Receipt Account	125221	No Year
57	APHIS Buildings and Facilities – APHIS Parent/ARS Child	General	12X1601	No Year
68	General Fund Proprietary Receipts	Receipt Account	123220	No Year

Fund Code	Description	Fund Type	Treasury Symbol	Single, Multi or No Year
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Fund Code	Description	Fund Type	Treasury Symbol	Single, Multi or No Year
70	Fine, Penalties, and Forfeitures	Receipt Account	121010	No Year
71	Forfeitures of Unclaimed	Receipt Account	121060	No Year
72	General Fund Proprietary Interest	Receipt Account	121435	No Year
73	Letter of Credit Suspense	Clearing Account	12F3879	No Year
74	Proceeds from Sale of Property	Receipt Account	122624	No Year
84	Collect Cancelled Authority	Receipt Account	123200	No Year
87	Concession Fees and Volunteer Services	Trust	12X5279	No Year
88	Patent Culture Collection	Reimbursable	12X1400	No Year
89	Revocable Permits and Easement Collections	Reimbursable	12X1400	No Year
90	Budget Clearing Account (Federal)	Deposit Suspense	12F3885	No Year
91	Technology Transfer (CRADA)	Trust	12X8214	No Year
92	Technology Transfer and Licensing Receipts	Trust	12X8214	No Year
93	Miscellaneous Contributed Funds	Trust	12X8214	No Year
94	Proceeds from Sale of Property	Deposit	12F3845	No Year
95	Gifts & Bequests - Dept. Parent/ARS Child	Trust	12X8203	No Year
96	Budget Clearing Account (Foreign)	Deposit	12F3875	No Year
97	Budget Clearing Account (non-federal)	Deposit Suspense	12F387	No Year
98	Budget Clearing Account (BARD Department)	Deposit Suspense	12F3875	No Year
99	Miscellaneous Fines	Receipt Account	121099	No Year

- Using ACCS Division Coding

The Division (DIV) level represents the *first* level of the agency's organizational hierarchy. The division code:

- Is usually equivalent to ARS area offices
- Is defined on the Division Reference Table (DVSN)
- Is a two-position code
- Has a unique record made up of the combination of division and fiscal year on the DVSN table

ARS uses the FFIS division code to identify each area/allocation holder. The table below shows the division code values that are used. In FFIS, the division is defined in the Division Reference Table (DVSN) by Fiscal Year. The table below provides the ARS FFIS division codes.

Area/Allocation Holder	Division Code SEC 1 Codes
NFC – Reporting Section #4	R4
Program Management	01
Special Projects	02
Administrative and Financial Management	03
Salary Lapse	05
Beltsville Area Facilities	07
Transfer Account	09
Beltsville Area	12
North Atlantic Area	19
Midwest Area	36
International Research Program	40
Pacific West Area	53
Northern Plains Area	54
Southern Plains Area	62
Mid South Area	64
South Atlantic Area	66
National Agricultural Library	82
Headquarters Held Funds	90

• Using ACCS Organization Coding

The Organization (ORG) level translates to ARS' fourth, fifth, and sixth Level Mode Codes. Every organization:

- Belongs to a division
- May be used to further distinguish between lower organizational levels
- Is defined by a seven-character code
- Is found on the Organization Table (ORGN)

The table below defines the three organizational levels which may be used below the division (area) level:

Level	Definition
1	ARS' highest organizational level under an area/allocation holder (Division level). Organization level 1 is a location or HQ, office, staff, or division (4 th Level Mode Code).
2	ARS uses a second organizational level to distinguish a lab, or management unit (MU) (5 th Level Mode Code).
3	ARS uses a third organizational level to distinguish a management unit (MU) (6 th Level Mode Code).

When organization level 1 is a location, then a management unit (MU) is at the organization level 2.

When a location has multiple labs, the location is level 1, the laboratory is level 2, and the MU is level 3.

The following section outline the available FFIS accounting dimensions and the coding schemes that ARS uses for these fields.

The first two positions of the ORG code represent the division (area/allocation holder). The next five positions represent the different organizations (locations, labs, and management units) under each area.

The following charts show two examples of organizational structure. The first chart shows part of an area, and the second chart shows part of headquarters.

Sample Organization Levels for an Area Location (Riverside, CA)

Area/ Allocation Holder
(Division)

Pacific West
Area

53

Location
(Organization Level 1)

Riverside, CA
5310000

Sample Organization Levels for a HQ Location (PPD)Area/Allocation Holder
(Division)Administrative & Financial
Management (HQ)

03

Location
(Organization Level 1)

Procurement and Property Division 0317000

Management Unit
(Organization Level 2)

- Working with ACCS Program Codes

- Program Codes

ARS uses program codes, which, when used in conjunction with a budget fiscal year, act as short hand codes for a more detailed accounting code.

Every program code:

- Is a nine-position field
- Is required on each spending document
- Is used for allotting funds

- Establishing New Program/Codes

The SBFO is responsible for establishing new program codes in FFIS. Entries must be made on three tables: PGMT, DVAL, ACXT.

PGMT – Defines the Budget Fiscal Year and program code.

DVAL – Ties the BFY and program code to a fund division and organization.

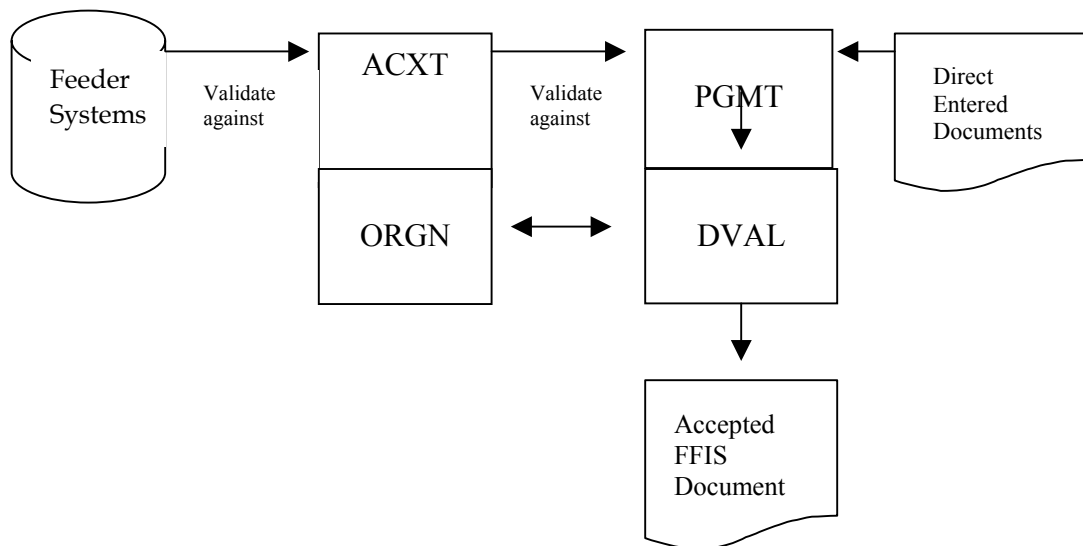
ACXT – Relates a feeder system accounting code to an FFIS accounting code. See Section 3.7 for details on updating these tables.

- Table Maintenance

As noted earlier, the update of the Program Management Table (PGMT), Default Values Table (DVAL) and Accounting Cross-Walk Table (ACXT) has been delegated to the SBFO's.

This function is similar to the accounting code maintenance function you previously performed in the Central Accounting System when updating the Master Account Structure Code System (MASC). These tables are now required to successfully establish and use an accounting code in FFIS.

Relationship of Tables



- Program Reference Table (PGMT)

The following is an example of the Program Reference Table (PGMT):

```

ACTION: R TABLEID: PGMT USERID: FRED
PROGRAM REFERENCE TABLE
KEY IS BUDGET FISCAL YEAR, PROGRAM
BUDGET
FISCAL      PROGRAM      PROGRAM      PROGRAM      PROGRAM      PROGRAM      ALLOTMENT
YEAR        PROGRAM      CLASS      CATEGORY      TYPE      GROUP      PROGRAM
-----
01-  02      011935100
PROGRAM NAME: HIDES, LEATHER & WOOL
02-  02      011935101
PROGRAM NAME: ENGINEERING SCI
03-  02      011935102
PROGRAM NAME: FOOD SAFETY RES
04-  02      011935103
PROGRAM NAME: MICROBIO FOOD SAFETY
05-  02      011935104
PROGRAM NAME: MILK COMPONENTS RES
06-  02      011935105
PROGRAM NAME: POULTRY FOOD SAF RES
07-  02      011935106
PROGRAM NAME: PLANT & SOIL BIO PP
  
```

The PGMT table defines the Budget Fiscal Year and Program Code in FFIS. To enter a value in PGMT, do the following at any FFIS screen.

Step	Action
1	From any FFIS Table, in the Action field, enter N.
2	In the TableID field, enter PGMT.
3	Press <Enter>. A blank PGMT screen appears.
4	To add a record, in the Action field, enter A.
5	Tab to line 01 and enter data as described in the following section.

The following provides field values for the PGMT table:

In this field...	Enter...
BUDGET FISCAL YEAR	the BFY for the accounting strip you wish to add. Normally, this is the current fiscal year (e.g. FY 2002 is 02).

In this field...	Enter...
PROGRAM	the nine-digit program code. The program code is identical to the last 9 digits of our current CAS accounting code.
PROGRAM CLASS	Program Class is used to tie major construction accounts together. For a list of valid program classes, see table PCLS . Values in PCLS may be entered only by the Functional Administrator staff.
PROGRAM CATEGORY	Leave blank. This field is currently not used in ARS' FFIS implementation.
PROGRAM TYPE	the two-digit Program Type. Program Type is identical to the Account Type field in CAS. For a list of valid Program Types, see table PTYP. Values in the PTYP can only be entered by the Functional Administrator staff.
PROGRAM GROUP	Leave blank. This field is currently not used in ARS' FFIS implementation.
ALLOTMENT PROGRAM	Leave blank. FFIS will automatically add this value.
PROGRAM NAME	the Program Name. For incoming soft funds, ARS requires that the first 11 characters of Program Name be the Vendor Code of the entity providing the funds to ARS. After skipping a space enter the month and year when the agreement expires. Skip a space and then enter the last 13 characters as the provider's name. This will enable NFC to bill the cooperator. For all other programs, describe the program. Example: Fruit and Nut Research Unit
SHORT NAME	the program short name. For incoming agreements, contracts, etc. (soft funds), enter the agreement number, contract number, or other number in the Short Name field. For all other program codes, this field is optional.

You may enter more than one Program Code on a PGM screen. To enter more than one code, tab to the next line and repeat the above entry instructions. When done, press <Enter> and the values that you put on the screen will be edited. If there are errors, the error message will be shown on the bottom of the screen. The message **"ALL LINES ACCEPTED"** indicates successful processing.

PGMT rolls over from one fiscal year to the next. NOTE: 08 program codes will roll to the next fiscal year based on the expiration date reflected in the "Program Name" field.

- Default Values Table (DVAL)

The following is an example of the Default Values Table (DVAL):

```
ACTION: R TABLEID: DVAL USERID: FRED
DEFAULT VALUES REFERENCE TABLE
KEY IS CODED ELEMENTS
```

```
01-          ----- CODED ELEMENTS -----
FISC YR: 02  H/L: L TRANS CODE:      TRANS TYPE:
BFYS: 02     FUND:      DIV:      BUDGET ORG/SUB:
COST ORG/SUB:      PGM: 011935100  BOC/SUB:
REV SRCE/SUB:      JOB:      RPTG:

          ----- DERIVED ELEMENTS -----
BFYS: 02     FUND: 01      DIV: 19      BUDGET ORG/SUB: 1935700
COST ORG/SUB:      PGM:      BOC/SUB:
REV SRCE/SUB:      JOB:      RPTG:
GL ACCOUNT:      OFFSET GL ACCOUNT:      VENDOR:
```

DVAL ties a Program Code to the rest of the Accounting Classification Code Structure (ACCS) in FFIS. It defines BFY + Program Code to a particular fund, division and organization.

Follow these steps to update the DVAL table:

Step	Action
1	From any FFIS Table, in the Action field, enter N.
2	In the TABLEID field, enter DVAL.
3	Press <Enter>. A blank DVAL screen appears.
4	To add a record, in the Action field, enter A.
5	Tab to FISC YR and enter data as described in the following section.

The following provides field values for the DVAL table:

In this field...	Enter...
FISC YR	the CURRENT FISCAL YEAR. If you are in Fiscal Year 2002, enter 02.
H/L	L.
BFYS	the Budget Fiscal Year of the Program Code (see PGM).
PGM	the Program Code you entered in PGM
RPTG	the four-character Reporting Category if you are using a reporting category for this Program Code. For a list of valid Reporting Categories, see table RPTG. The Functional Administrator staff adds values to RPTG. Otherwise, tab to the Derived Elements FUND field.
Derived Elements FUND	the ACCS elements that are inferred from the BFY, Program Code, RPTG values entered on an FFIS document.
BFYS	the Budget Fiscal Year previously entered in the line items.
FUND	the Fund Code associated with the Program Code. The Fund Code is the 1 st two digits of the Program Code.
DIV	the Area/NAL/HQ that has ownership of this code. DIV generally is derived from positions 3 and 4 of the Program Code.
ORGN	the ORG Code that "owns" the Program Code. The ORG codes are found in the ORGN table. Only the Functional Administrator enters values in ORGN.

Once completed, press <Enter>. The data entered is edited by FFIS. If there are errors, error messages will be displayed. If the message "**ALL LINES ACCEPTED**" is displayed, processing was successful.

Entries on the DVAL Table will be rolled over at year-end.

- Accounting Structure Code Cross
Reference Table - ACXT

The following is an example of the Accounting Structure Code Cross
Reference Table (ACXT):

```
ACTION: R TABLEID: ACXT USERID: FRED
ACCOUNTING STRUCTURE CODE CROSS-REFERENCE TABLE
KEY IS FY, AGENCY, ACCOUNTING STATION, ASC1

FY: 02 AGENCY: 03
ACCOUNTING STATION: 0091
-----ACCOUNTING STRUCTURE CODE-----
ASC1: 2011935100
ASC2:
USER-ENTERED RECORD?:

-----FFIS ACCS-----
SEC1: 19
BFYS: 02          FUND:          DIVISION:
BUDGET ORG/SUB:    COST ORG/SUB:
PROGRAM: 011935100 JOB:          RPTG:
SUB BOC:           SUB REV SRC:
CLOSED BFYS:       CLOSED FUND:
```


Follow these steps to update the ACXT table:

Step	Action
1	From any FFIS Table, in the Action field, enter N.
2	In the TableID field, enter ACXT.
3	Press <Enter>. A blank ACXT screen appears.
4	To add a record, in the Action field, enter A.
5	Tab to FY and enter data as described in the following section.

The following provides field values for the ACXT table:

In this field...	Enter...
FY	the Current Fiscal Year.
Agency	03.
Accounting Station	Not required.
ASC1	the Feeder System Accounting Code (for example, 2013625310). Press <Tab> until you get to the SEC1 field.
SEC1	your two-digit DIV Code.
BFYS	the two-digit Budget Fiscal Year (for example, 02).
PROGRAM	the Program Code (for example, 013625310).
RPTG	the Reporting Category that corresponds to the last four characters of ASC1 if the ASC1 field had 14 digits.

Once completed, press <Enter>. FFIS edits the data entered. If there are errors, error messages are displayed. If the message “*ALL LINES ACCEPTED*” is displayed, processing was successful.

- Organization Reference Table (ORGN)

The following is an example of the Organization Reference Table (ORGN):

ACTION: R TABLEID: ORGN USERID: FRED			
ORGANIZATION REFERENCE TABLE			
KEY IS BFY, ORGANIZATION			
01-			
BFY: 02	ORGANIZATION: 1935700	DIVISION: 19	
ORG NAME: HIDES, LIPIDS, & WOOL RESEARCH		SHORT NAME:	
ORG MANAGER:	PROGRAM:		LEVEL IND: 2
APPROVAL: N		ALLOT STATUS IND: N	
ALLOTMENT ORG: 1935000		REVENUE BUDGET ORG:	
BUDGET/COST ORG: E		DECENTRAL TRAVEL ORDER: N	
REPORTING ORGANIZATIONS			

ORG 1: 1935000	ORG 2:	ORG 3:	ORG 4:
ORG 5:	ORG 6:	ORG 7:	ORG 8:

ORGN is the FFIS Organization Table. It is similar to the MODE (Organization Structure) Code used in other ARS systems. Only the Functional Administrator staff enters values in ORGN.

- Updating the ORGN Table

Follow these steps to update the ORGN table:

Step	Action
1	From any FFIS Table, in the Action field, enter N.
2	In the TableID field, enter ORGN.
3	Press <Enter>. A blank ORGN screen appears.
4	To add a record, in the Action field, enter A.

The following provides field values for the ORGN table:

In this field...	Enter...
BFY	the Budget Fiscal Year.
ORGANIZATION	the seven-digit code that represents the organization. The first four digits of the Organization Code represent the Location's MODE Code. The last three digits combine MODE Code levels 4 and 5 into three digits.
DIVISION	the ARS Areas/NAL/HQ.
ORG NAME	the Organization's name.
SHORT NAME	a shorter name, usually an abbreviation, for the organization.
ORG MANAGER	nothing. This field is optional and not used in the ARS FFIS implementation at this time.
LEVEL IND	the Organizational level. Level 1 is a location, level 2 is an MU or Lab, and level 3 is an MU under a lab.
REPORTING ORGANIZATIONS	the organizational hierarchy that the particular organization reports to. Every Org. Level 2 and 3 must have a reporting organization.

- Completing Reorganization Changes

When a reorganization occurs, it is necessary to establish the new organization(s) by setting up program and accounting codes, and transferring budget funds. The following provides steps to take in the event of a reorganization:

Step	Action
1	SBFO contact the functional administrator to establish a new organization(s).
2	SBFO establish new program codes in PGMT, DVAL, and ACXT.
3	SBFO transfers budget authority from the old organization to the new organization using the BL and SA documents. (In rare instances, BPMS may have to do a BE document).
4	If necessary, SBFO/LAO's transfer spending from old accounts to new accounts using the B2 document.

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Chapter 4: Vendor

• Overview

The purpose of this chapter is to issue Operating Policies and Procedures regarding the FFIS Departmental/Common VEND Table for ARS vendor coordinators. Vendor coordinators are responsible for adding vendors for respective HQ/Area/NAL/locations and/or units that only have search access to the VEND table.

• Audience

All ARS employees are responsible for either performing or being aware of the steps outlined in this chapter.

Note: For system-specific step-by-step instructions, please refer to the Vendor Training Module.

• Acronyms

The following is a list of Acronyms found in this chapter, and their definitions:

- ALC – Agency Location Code
- EFT – Electronic Funds Transfer
- TIN – Tax Identification Number
- VID – Vendor ID
- VXP – Vendor Express Program

- Impacted Tables

The Vendor Maintenance Table (VEND) is the primary table for storing and maintaining vendor data. Many other tables in FFIS are used in researching vendor data. Please refer to the Researching Vendor Information section of this chapter for a complete listing of those tables.

Please refer to *Appendix I, Table Abbreviations and Full Names*, for a complete list of FFIS tables.

- Contents

This chapter contains the following topics.

Topic	See Page
Working with Vendors	3
Researching Vendor Information	6
Maintaining Vendors	9
Assigning Vendor Type Codes	18

- Working with Vendors

A vendor is any entity that has a financial transaction with ARS either by giving or receiving funds. Examples include Federal employees, commercial firms, universities, non-government individuals, or other federal agencies. In order to have any monetary transaction complete in FFIS, the vendor must have a valid remittance address in the VEND Table.

- What is a Vendor ID?

The Vendor ID (VID) consists of eleven positions. For commercial vendors, the first nine positions (no spaces or dashes) are the vendor's Tax Identification Number (TIN). The 10th and 11th positions are suffixes. When establishing the initial record in VEND, position ten should be blank and position eleven, Alternate Address Code, should be 'A.' Different Alternate Address Codes B-Z (less alpha I and O) may be assigned if a single vendor requires multiple remittance addresses. This accommodates 33 additional addresses. If there are more than 34 addresses for a vendor, additional VIDs can be created by using a suffix in position ten. See Section 5.5 for the list of Vendor Type codes.

For a Federal employee payrolled by NFC, the vendor code consists of the Social Security Number (SSN) in the first 9 positions, an "E" in the 10th position. The address code in the 11th position can be an "S" for salary address, "R" for residence address, "T" for T&A contact points, "I" for payments requiring a 1099 income statement, or "Z" for travel EFT accounts reimbursements. Vendor codes for "S" and "R" addresses are already resident in the FFIS Vend Table. The others have to be added as needed. The vendor type for payrolled employees is always "E".

Note: Adding Federal employees payrolled by NFC can only be done by NFC-FOB. Requests must be sent through the COMT table as explained in Section 5.4.9 below.

- Who has Access to add a Vendor?

ARS has several people with access to enter Vendors in the VEND Table. Each Area Office has a Vendor Coordinator and designated back-up. Also, NAL, EAD, FD, FMD, PPD, and the FMD-FFIS Operations Branch (FFISOB)

have two or more people with “ADD” capability. The area offices are responsible for adding vendors for the locations within their area.

- When to Search for Vendors

Verify that a vendor is in the VEND table for each spending transaction involving outgoing and incoming funds including, but not limited to, procurement, contracts, grants, agreements, trust funds, and non-government travelers.

When preparing any supporting document for a spending activity, you must ensure that the vendor is reflected in the VEND table with appropriate remittance address.

You do not have to look up a vendor when using your Government Purchase Card. All Purchase Card transactions feed nightly into FFIS. All PCMS transactions have the Bank of America as the Vendor. Since FFIS recognizes the Bank of America as the vendor, and Bank of America is already resident in the VEND Table, there is no need to look it up.

- Searching for Vendors by Name

There are times when searching by vendor names is necessary. For instance, when searching for a Federal Agency and you do not have the VID. The VID entries for Federal Agencies are made up from their Agency Location Code (ALC). So federal agencies will have VIDs that are very similar (for a downtown location) and many that can be different (spread throughout the United States). Search for a Federal Agency by name using the VNAME table. The VNAME table brings up all the Agency’s addresses for you to review. This can also be helpful for other types of vendors where you do not have the TIN and there are many addresses (for example, Federal Express). There are some drawbacks when using VNAME. The drawbacks are:

1. If you search for a vendor by the vendor name (VNAME), you may have to search more than once, using different variations of the name (example: IBM, I.B.M., or International Business Machines).
2. Unless you have been granted employee rights, your search in VNAME will show blanks in-between your vendors and an error message for those blank entries (error: “*S304 ACTION NOT AUTH FOR SEC1”) at the bottom of the screen. These blanks are for employees in the system. In order to find the vendor name, you need to scroll through these to get to your vendor. For instance, if you start with “M” and you are searching for McDonald’s, you need to scroll through all the vendors (alphabetically) and all the intermittent blank employee screens.
3. When using VNAME, you still need the TIN to verify that you have the right vendor. Sometimes two companies can have the same name, but a different TIN. For example, there are many McDonald’s, each independently franchised and each has a different TIN. Therefore, search using the VEND Table and the company TIN for the quickest and least frustrating method to find the VID. When you search and find your vendor, it is very important to verify the vendor’s remittance address and TIN in the FFIS VEND Table.

- Preferred Method for Vendor Searches

The best way to search for a “commercial” vendor is in the VEND Table using the Taxpayer’s ID (TIN). This calls up each remittance address available in the system for that vendor. When you search by the TIN, you only search once because TIN numbers are unique.

A vendor may have more than one VID in the system. If a vendor has more than one remittance address, it will have more than one VID. Example: VID 123456789 A and/or VID 123456789 B. Select the VID for the remittance address associated with the transaction as noted by the vendor.

- Researching Vendor Information

There are many Vendor tables in FFIS that you can use to research vendor information. The table below provides detailed information on which table to use when searching for information.

If you know...	and want to know...	go to this FFIS Table...
Vendor Code, Remittance Address	Is the vendor in FFIS?	VEND
Vendor Name and Address	Vendor Code	VNAM
Vendor Code, Payment Voucher Document ID	Vendor Name, Address, Schedule Date, Closed Date, Vouchered Amount, Closed Amount (disbursed), In Transit Amount (submitted but not yet confirmed as paid by Treasury)	PVHT
Vendor Code, Payment Voucher Document ID, Line Number	Vendor Invoice, Invoice Date, Line Amount, Closed Amount (disbursed), Disbursed Amount, In Transit Amount (submitted but not yet confirmed as paid by Treasury), Reference Document ID, Transaction Type, Accounting Distribution	PVLT
Obligation Document ID	Payable Document ID, Amount	DXRF
Payable Document ID	Obligation Document ID, Amount	DXRF
Vendor Code	All documents entered against the selected vendor, Amount	VXRF
Check Number	Vendor Name, Payment Address, Check Total, Check Date	CHKH
Check Number	Payment Voucher Document IDs, Line Amounts, Check Date of all Payment Vouchers included on a specific check	CHKL

If you know...	and want to know...	go to this FFIS Table...
Fiscal Year, Schedule Category, Type, Number, Payment Sequence Number, Disbursing Office	Payee, Payment Amount, Payment Date, Bank Information	EFTH
Fiscal Year, Schedule Category, Type, Number, Payment Sequence Number, Disbursing Office	Payment Voucher, Travel Advance Number, Line Number, Record Type, Payment Amount	EFTL
Vendor Code, Vendor Invoice Number, Invoice Date	Document IDs and Check Numbers for all confirmed payment against a specific invoice	IVCH
Vendor Code, Document ID of Payment Voucher	Check Number associated with the voucher, Amount	VCHK
Vendor Code, Document ID, Line Number of a Payment Voucher or Travel Advance Line	Treasury Schedule Number, Amount, Confirmation Status, Interest and Discount amounts of all disbursements against a payment voucher	VXDD
Document ID	Where is a payment related transaction in the processing chain?	DXRF
Vendor Code, Document ID of Payment Voucher	What is the status of a payment document?	PVHT
Vendor Code, Document ID of Payment Voucher	Has a payment voucher been disbursed?	PVHT
Vendor Code, Document ID, Line Number of Payment Voucher	Has a payment voucher been disbursed, confirmed, or backed out?	VXDD
Payment Sequence Number	What vouchers were paid on a specific EFT payment?	EFTH
Payment Sequence Number	What was the dollar amount of each transaction included on a given EFT payment?	EFTL

If you know...	and want to know...	go to this FFIS Table...
Check Number	What vouchers were paid on a specific check?	CHKH
Check Number	What is the status of a check?	CHKL
Vendor Code, Vendor Invoice Number, Invoice Date	What are the Document IDs and Check Numbers for all confirmed payments against a specific invoice?	IVCH
Vendor Code, Document ID of Payment Voucher	What is the Check Number associated with the payment voucher and amount?	VCHK
Schedule Number	What is the amount being paid on a specific schedule?	TSCH
Schedule Number	What specific vouchers appear on the schedules?	TSCL
Schedule Number, Vendor Code, Document ID of Payment Voucher	What are the corresponding amounts and associated check numbers?	TSCL
Schedule Number, Vendor Code, Document ID of Payment Voucher	How do you find check numbers?	TSCL
Schedule Number, Check Number	What is the status of a canceled check?	CXLT
Calendar Year, Vendor Code	Where do you find the total disbursed amount for a 1099 vendor for a calendar year?	VPYA
Check Number	Has a check canceled for replacement been replaced yet?	REPL
Schedule Number, Payment Sequence Number	Has an EFT payment canceled for replacement been replaced yet?	ERPL

- Maintaining Vendors

- Adding a Vendor Steps and Required Fields

Designated vendor coordinators may add a vendor record to the VEND table after completing a vendor search and determining that the vendor or the vendor's remittance address is not in the FFIS tables. Vendor coordinators are allowed to add vendor records to the VEND table using the following guidance and the guidance provided in the Vendor Training manual. This manual also provides specific instructions for each field and all vendor scenarios.

Step	Action												
1	Before adding a new VID to VEND, the user should review the table to ensure that the vendor/provider is not already established in VEND. When the vendor is already established in VEND with the proper remittance data, that VID should be used.												
2	<div>Complete the following required fields:</div> <table> <tr> <th>Field</th><th>Description</th></tr> <tr> <td>Vendor Code</td><td>Nine-position Taxpayer ID number, followed by a space and one-position alpha address code</td></tr> <tr> <td>Vendor Name</td><td>company name</td></tr> <tr> <td>Address Line 1</td><td>first address line of the remittance address (second address line is not mandatory)</td></tr> <tr> <td>Address Line 3</td><td>City, State and Zip of remittance address</td></tr> <tr> <td>Vendor Type</td><td>Can be found in the Vendor Type Reference Table (VTYP)</td></tr> </table>	Field	Description	Vendor Code	Nine-position Taxpayer ID number, followed by a space and one-position alpha address code	Vendor Name	company name	Address Line 1	first address line of the remittance address (second address line is not mandatory)	Address Line 3	City, State and Zip of remittance address	Vendor Type	Can be found in the Vendor Type Reference Table (VTYP)
Field	Description												
Vendor Code	Nine-position Taxpayer ID number, followed by a space and one-position alpha address code												
Vendor Name	company name												
Address Line 1	first address line of the remittance address (second address line is not mandatory)												
Address Line 3	City, State and Zip of remittance address												
Vendor Type	Can be found in the Vendor Type Reference Table (VTYP)												

Step	Action	
	Field	Description
	Comments:	Enter information on the person entering this information. For example: The Agency (space), the Office (Area) (space), Month (hyphen) year, Person's initials. ARS NPA 11-01 DJ (This is for Northern Plains Area Office on November 2001 by Dick Jansen)
	VEND/PROV Code	Should always be 'B' so we can give and receive funds from this vendor
	TAXPAYER ID#	Nine-position Taxpayer ID
3	Procurement personnel define the function of the vendor.	

It is a good practice to make sure your vendor knows their VID and references it for any monetary transaction such as invoicing. This greatly speeds payment processing.

- System Acceptance of a New Vendor

Once you have completed all the necessary fields, go to the "ACTION" field, type an "A" in that field and then press <Enter>. At the bottom of the screen you should see a message that says "All Lines Added." That is confirmation that the vendor has been added. If you see error messages, make the corrections and type "A" in the "ACTION" field and press <Enter>. When all the errors are corrected, the vendor confirmation message appears at the bottom of the screen.

- What is the "Add Key Found" Error Message?

If you receive an "Add Key Found" error message when adding a vendor, it means that the vendor you are trying to add is already in the system with that same VID. Check the remittance address. Is it the one you need? If so, there is no need to add the vendor. If it truly is a new remittance address, then enter

it using the next available single alpha address code. (Example: 123456789 A, 123456789 B, 123456789 C, 123456789 D)

- Using VIDs Entered by Other Agencies

You can use VIDs entered by other agencies. The VEND table is a common table that is available to all USDA Agencies. When using any VID, just be sure that the address is the same remittance address that you want and all the “Payment Flags” match your payment schedule needs. If not, you must have the vendor added with the alternate remittance address. When adding entities which are not commercial vendors, specifically individual people, use the steps outlined in the “Vendor Training Module, Manual, “ Attachment B, pages 23 and 24.

- Adding Individuals as Vendors

There are instances when Non-Government, Retirees, and Federal employees not payrolled by NFC are due payments from the government, such as travel and royalty payments. Vendor codes for these individuals must be entered into the VEND table in order for them to receive these payments. These vendor codes can be added by the Vendor Coordinators. New hires to ARS are also included in this group as they may incur travel expenses prior to actually receiving a paycheck; for example, house hunting expenses as part of a relocation. These individuals are entered in VEND as other Non-Government people at first and when they are entered in the payroll system, their vendor codes will be automatically converted to include a vendor code with a salary address and residence address.

The following table reflects the vendor codes that can be assigned to Non-Government, Retirees, Federal employees not payrolled by NFC, and new hires, by type of payment:

Travel Reimbursement			
	Vendor Code	Alt. Address	Vendor Type
Payrolled Employees selecting Travel EFT Account (other than salary EFT)	___S S N E	Z	E
New Hires, Federal Employees not Payrolled by NFC, Non-Federal Individuals (special/ mailing address only)	___S S N E	S	Q

Travel Reimbursement			
New Hires, Federal Employees not payrolled by NFC, Non-Federal Individuals (EFT)	--- <u>S</u> <u>S</u> <u>N</u> E	Z	Q

Other Payments (Non-travel related)			
	Vendor Code	Alt. Address	Vendor Type
Payrolled Employees	--- <u>S</u> <u>S</u> <u>N</u> E	I	E
New Hires, Federal Employees not Payrolled by NFC, Non-Federal Individuals (special/ mailing address/EFT)	--- <u>S</u> <u>S</u> <u>N</u> E	I	Q

- Adding a Federal Government Agency Vendor
-

Federal Agencies Vendor information must be added by NFC-FOB through the COMT request process. All Federal agencies have been added and many have multiple vendor codes (for example, Forest Service has over 6,000 entries). However, addresses do change from time to time. Therefore, if you need to add a federal agency, contact your Vendor Coordinator to submit your request to NFC on the COMT Table. See Section 5.4.9 of this chapter for COMT instructions.

NFC needs the following minimum information for a Federal Agency:

1. Agency Location Code (ALC) which is a nine-position number - 1-8 are the Agency's ALC without dashes and the 9th position is the character "F" (if the Agency is billed via OPAC, please give that information to NFC as well)
2. Agency name
3. Address
4. If known, the Vendor Type (page 16 & 17 of the "Vendor Training Module Manual") use G, H, V, W, X, or Z (if you are unsure, NFC will research it for you).

- Vendors with Multiple Pay Schedules

It is possible for a vendor with the same remittance address in FFIS VEND Table be listed for a different pay schedule. The VEND Table lists 30 days as the default pay schedule. If you need to identify a different payment schedule, you must enter that vendor again and identify the alternate payment schedule you need.

- Vendors with the Same Tax ID

It is possible for two vendors to have the same Tax ID, but different vendor names. An example of this would be if a sole proprietorship owned more than one business. The Tax ID would be the owner's social security number, which would be valid for both businesses. When this occurs, first verify the information with the vendor. Then enter the second business with an alternate address code.

- What is COMT and COMR?

COMT allows a user with the appropriate FFIS security access to enter an FFIS table-related question or request FFIS table updates to their FFIS application. COMT is used to request NFC's assistance in adding, changing, or deleting records in VEND. NFC-FOB personnel monitor COMT daily and act immediately upon requests for information.

A vendor will not be automatically deleted pursuant to a user's request. The NFC-FOB researches the request before taking any action. Caution is taken in deleting vendors initiated by a user in one region, because others in the system may use the vendor.

Examples of why a vendor may be deleted are:

1. The department has disbarred the Vendor.
2. The vendor coordinator made errors in adding a vendor.
3. The vendor coordinator entered a vendor in the system twice.

NFC-FOB will conduct an annual review in January of each year to identify inactive (dormant for one year) and duplicate Vendor records for deletion.

The COMR table is used to access responses to COMT inquiries.

- Working with the COMT and COMR Tables

Since ARS users are not allowed to change or delete vendor records, NFC makes all changes in response to requests received from the COMT Table. If you have access to the COMT, you may use it to submit changes to NFC. If you do not, then forward the change to your vendor coordinator, for submission to NFC via the COMT table, as outlined below:

Step	Action
1	Enter "N" in the Action field.
2	Enter "COMT" in the TABLEID field.
3	Press <Enter>. The COMT Table appears.
4	In the Action field, enter "A" or "Add."
5	Press <Enter>.
6	In the Request Type field, enter "Q" for question or "R" for request. To "Add or change" use the "R" in this field.
7	In the Application ID field, enter : FFO3 for ARS
8	The Application ID field should default to the application to which you have been given access.
9	Tab through the next fields (Requester, Request date, and Request time) as they default to your ID information.
10	Under "Communication Text," type in your request and all the information NFC will need to fulfill your request. Do not hit "enter" until you are ready to send the request.

Once the request is sent, make sure you write down the "sequence number." You will need this number for reference in the COMR Table. COMR and sequence number is how NFC will communicate back to you, and let you know your request was completed or if they need any other information. A couple days after sending a request or question through the COMT Table, be sure to check the COMR table for the NFC response. If by chance you do not have the sequence number just enter request type "R" or "Q" and application ID "FF00." Next scroll through until you see your User ID "UxxN01" and your question/request. This is not as fast as having the sequence number, but it works.

- Vendor Name Change

If a vendor has a name change, send the documentation (example: novation agreement) to your vendor coordinator. Vendor coordinators will fax the request for name change with back-up documentation to NFC. The NFC Table Maintenance Group may decide to make a second record for the vendor instead of changing the existing record. This is also true for a vendor with an address change.

Please note, if the vendor on an open purchase order, contract, or obligating document has a change of address and a new VID is set up instead of changing the existing VID, the obligating document must be amended with the new VID.

- Electronic Funds Transfers

The following steps are used to establish EFT for a vendor:

Step	Action
1	The vendor contacts the NFC APB MISC PAY Section at 800-421-0323 to initiate the establishment of EFT capability.
2	The Administrative Payments Branch (NFC/APB) completes a 'Pre-Notification' package, which helps to circumvent potential liabilities due to misdirected funds.
3	Electronic Funds Transfer (EFT) information is updated to FFIS vendor records by the Table Maintenance Group at the NFC only . The FFIS VEND table is kept in sync with the 'Vendor Express' system maintained at the NFC.
4	The EFT capability is activated and the vendor receives a VXP number.
5	Vendors receive a check until the Vendor Express Pre-Notification is complete (currently 14 days).

Vendors should also contact the NFC to advise of future changes to their banking information.

Employee Electronic Funds Transfer (EFT) information is updated to FFIS Vendor records by the Table Maintenance Group at the NFC **only**. The FFIS VEND table is kept in sync with the Personnel NEMP file on a daily basis. ARS Area Vendor Coordinators may request (through **COMT**) a review and update of EFT information for existing records as needed.

- How do VXP and VID Work Together?

VXP is a number NFC assigns to Vendors and is used for EFT purposes. If a vendor does not use EFT, please encourage them to do so by having them contact OCFO/NFC at 1-800-421-0323 and enroll in the Vendor Express Program.

The FFIS VID number goes in the second address line of the Purchase order. Do not put the VXP number in the address fields. Make sure you use the VID number that has a VXP address attached in the VEND Table.

Only NFC will enter vendors with VXP addresses. NFC routinely loads all VXP users into FFIS. There are times when a vendor has a VXP number, but has not completed the EFT circle and therefore not completely set up in Vendor Express. How do we know they are giving us a valid VXP number? This is information only NFC would know, and we would have no way of verifying the VXP information. Need-less-to-say, what if we make a typo in the VXP number and don't catch it? The money could go anywhere.

Therefore, if you are using a vendor with a VXP and they are not in the system, the vendor's information should be sent to NFC via the COMT and COMR Table for adding. Make sure to give NFC the VXP number for verification.

There is no standard address code for vendors with VXP. When searching for a vendor's address, look at all of the addresses in the VEND table and choose the one that is right for you. To help identify a vendor using EFT you will see the banking information on the bottom of the VEND Table and the "Customer Account" field populated by the number 68 followed by the nine digit VXP number. If there are two entries for the vendor in FFIS, one with information in the Customer Account field and one without, it is the preferred method to use the one with the VXP information.

- Miscellaneous Vendor Codes

Miscellaneous Vendor Codes are set up to be used for processing transactions for conversion balances, special Interface processing, or one-time infrequent vendors. Requests for approval to add miscellaneous vendor records should be forwarded by the vendor coordinators through the COMT.

- Assigning Vendor Type Codes

For quick reference, the following table provides the FFIS Vendor Type Codes.

Code	Definition
A	COMMERCIAL VENDOR-CRED - relates to the NFC Feeder System Vendors. This Vendor type should not use a Prompt Pay Type. The NFC automatically pays CRED Vendors within fifteen days. NOTE: The CRED system has been phased out.
B	BPA VENDORS - Blanket Purchase Order Vendors that allow USDA a line of credit, and USDA approves a spending limit per fiscal year. This Vendor type may use one of several Prompt Pay Types.
C	COMMERCIAL VENDOR-OTHER - relates to other commercial Vendors excluding CRED. This Vendor type may use one of several Prompt Pay Types.
D	GRANTEES - FEDERAL - Federal entities that receive Grant money from the USDA. This Vendor type is not subject to Prompt Pay rules.
E	EMPLOYEES - FEDERAL - Employees of USDA, NFC, and Agencies. This Vendor type is subject to Prompt Pay rules for travel expenses.
F	FOREIGN VENDORS - COMMERCIAL - Commercial Vendors who conduct business on foreign soils. This Vendor type is not subject to Prompt Pay rules.
G	FEDERAL GOVERNMENTS-NON USDA - US Federal Government entities (on US soil) that are not serviced by USDA. This Vendor type is not subject to Prompt Pay rules.
H	TREASURY BORROWING - FOREIGN - Borrowing from a Foreign Treasury. This Vendor type is not subject to Prompt Pay rules.
I	Reserved
J	GRANTEES - STATE/LOCAL - State or Local entities that receive Federal grants. This Vendor type is not subject to Prompt Pay rules.
K	GRANTEES - OTHER - Other entities and individuals that receive Federal grants. This Vendor type is not subject to Prompt Pay rules.

Code	Definition
L	LOCAL GOVERNMENT ENTITY - Cities, municipalities, Counties etc. This vendor type is not subject to Prompt Pay rules.
M	Reserved
N	INJURED PARTIES - Physical, Mental or Financial Injuries/Losses. This vendor type is not subject to Prompt Pay rules.
P	PERMITTEE - PUBLIC - Special permits issued to private individuals who are not undertaking commercial activities. This Vendor type is not subject to Prompt Pay rules.
Q	SUPPLEMENTAL / NON-EMPLOYEE - Special or unique situations arising with non-commercial sources, Non-Employee travelers, Volunteers, Consultants, Federal employees not payrolled by NFC, and new hires prior to entry in the payroll system. This Vendor type is subject to Prompt Pay rules for travel expenses.
R	PRODUCER - Producers of farm and dairy products. This Vendor type is subject to Prompt Pay rules.
S	STATE GOVERNMENT ENTITY - State Agencies, Universities, etc. This Vendor type is not subject to Prompt Pay rules.
T	TELEPHONE COMPANY - Commercial Telephone Communication Companies. This Vendor type is not subject to Prompt Pay rules.
U	UTILITY COMPANY - Commercial Utility Companies, i.e., electricity, gas and water. This Vendor type is not subject to Prompt Pay rules.
V	INTRA DEPARTMENTAL USDA - Federal Agencies within the USDA Service Umbrella. This Vendor type is not subject to Prompt Pay rules.
W	AGCY SPECIFIC INTERNAL STRUCTR - Federal Agency Regions, Units and Sub-Units within USDA Service Umbrella. This Vendor type is not subject to Prompt Pay rules.
X	SOVEREIGN ENTITY - Sovereign / Foreign Entity on United States soil.
Z	FOREIGN GOVERNMENTS-Non US - Government Entities outside of the United States of America. This Vendor type is not subject to Prompt Pay rules

Chapter 5: Spending

• Overview

This chapter provides information regarding ARS spending activities; obligating funds and making corresponding payments against the obligations. It also provides guidance on researching spending activities in FFIS to check for example, the status of payments; whether a check has been issued, etc.

• Audience

The following individuals are responsible for performing the steps outlined in this chapter:

- SBFO – Servicing Budget Fiscal Officer
- Budget Analyst/Budget Technician
- SPA – Southern Plains Area
- FMD/FOB – Financial Management Division/Fiscal Operations Branch
- RS4 – Reporting Section #4 Accounting Reporting Branch, NFC
- Accounting Technicians/Accounts Maintenance Personnel
- PWA – Pacific West Area
- Facilities Division (FD) Contracting and Procurement Specialists
- NFC – National Finance Center

Note: For specific system-related step-by-step instructions, please refer to the Spending Learner’s Guide.

• Acronyms

The following is a list of acronyms used in this chapter and their definitions:

- AAO – Area Administrative Officer
- ADO – Authorized Departmental Officer (at Area)
- A&E – Architect & Engineering
- APMO – Area Property Management Officer
- EAD – Extramural Agreements Division
- EEO – Equal Employment Office
- EFT – Electronic Funds Transfer
- FD – Facilities Division
- FDW – FFIS Data Warehouse
- FFISOB-FMD – FFIS Operations Branch, Financial Management Division
- FOB, FMD – Fiscal Operations Branch, Financial Management Division
- GPO – Government Printing Office
- LOC – Letter of Credit
- NFC – National Finance Center, New Orleans, LA
- OPAC – On-line Payment and Collection System
- SBFO- Servicing Budget Fiscal Officer

- Contents of Chapter

This chapter contains the following topics.

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- Introduction to Spending
 - What is Spending in FFIS?
-

The Spending module, combined with the Accounts Payable module, records, monitors, and controls all financial and accounting-related activities in the purchasing process. These two modules perform all financial and reporting functions that are related to the purchase of goods and services. The purchasing activities include:

- Committing for goods and services
 - Obligating for goods and services
 - Recording the receipt of goods and services
 - Recording the receipt of vendor invoices
 - Recording payments for goods and services received
-
- NFC Interfaces that Create Spending Documents in FFIS
-

The following NFC feeder systems interface with FFIS and create spending documents:

- ABCO
- PRCH
- PCMS
- TRVL
- PROP
- PACS
- MPOL
- GVTS
- TRAN
- UVTN
- TELE

- The Spending Chain
- Definition

The spending chain is a series of business processes and paper flows you use when purchasing goods and services. It can be a combination of up to five different steps:

- Commitment
- Obligation
- Receiver (PRCH Type 40 only)
- Expenditure
- Disbursements

- Spending Chain Components

The components of ARS' spending chain are defined in the table below:

Spending Action	Definition	Business Process
Commitment	Setting aside funds used to purchase goods or services in the future. Not a legally binding agreement. Draw down on available funds.	AD-700 or other request form specifying goods or services and terms of purchase.
Obligation	Records order to purchase goods and services. Legally binding agreement to pay for goods and services. May reference and liquidate RQ documents.	Purchase order completed, signed contract, approved training form, agreement, lease, utility, credit card, travel, payroll, etc.

Spending Action	Definition	Business Process
Receiver (Type 40 P.O. only)	Records goods/services received.	Ordering office indicated date goods/services received.
Expenditure	<p>Authorization to pay (i.e., an account payable) for goods services received.</p> <p>May occur before, after or simultaneously with the disbursement of funds.</p> <p>May reference and liquidate documents in the spending process that were previously entered.</p>	<p>Payment to vendor based on invoice and receipt of goods or services.</p> <p>Payment may either liquidate a previous step in the spending process or if no previous action has been taken in the form of an obligation, the payment can obligate and pay simultaneously.</p>
Disbursement	Transmission of cash to a vendor for goods or services.	Check or EFT payment is processed and sent to vendor.

- Working with Spending Documents

In the first year of operation, all “direct entered” documents will be entered by RS#4 on behalf of ARS, except for spending activity in SPA and PWA. SPA and PWA are piloting the decentralization of direct entered documents in this first year. Another exception is centrally managed Major Construction. Facilities Division will pilot direct entry of obligations executed against major construction (Buildings and Facilities) funds and Fiscal Operations Branch, FMD, will pilot direct entry of the corresponding payments.

All spending activities begin with the fund holder initiating the request for services on the appropriate form based on the type of request (AD-700 for services, AD-182 for training, etc.). The request for services gives the authority to start the procurement process. When sending obligating documents or payments to be directly entered into FFIS, a screen print of the vendor code must accompany the supporting documentation.

Note: Please refer to Appendix B, Transactions Processed Directly in FFIS for complete spending chain information.

- Commitments

ARS may use the Commitment transaction to set aside funds for purchasing goods or services but this is not mandatory; at the discretion of the SBFO/LAO. Commitments are not legally binding; instead they represent the intent to purchase. If used, a commitment draws down fund availability in FFIS. Commitments are entered into FFIS using the Requisition (RQ) document. RQs are generally used for high-dollar value, long procurement lead times, and sensitive, critical projects. Transactions processed in 90 days or less should not use an RQ.

Follow these steps when working with a Commitment spending activity:

Step	Action
1	The Servicing Budget Fiscal Officer (SBFO) and the Location Area Officer (LAO) enter the Commitment transaction (RQ) in FFIS using the approved request source document received from the fundholder.
2	Use a Transaction Code of RQ and a Transaction Type of 01.

- Obligations/Payments

The following provides detailed information by type of spending activity:

- Property Leases

Property leases are the long- and short-term leasing of land and/or space. There are two different transaction types for Property Lease transactions: Obligations and Payments. ARS obligates the funds using the Miscellaneous Order MO/M1 documents. Payments made on a regular schedule (monthly, quarterly, or annually) can be automatically generated in FFIS in REPV. One-time payments are made by directly entering PV documents into FFIS.

The Area Property Management Officer (APMO) executes the lease, forwarding a copy to RS4, NFC (or SPA/PWA, as applicable) for obligation and payment(s). APMO is responsible for seeing that the vendor (property owner) is added to FFIS Vendor table and that a print screen of FFIS Vendor table accompanies the signed lease forwarded to RS4, NFC, or SPA, PWA. There are two types of Payment transactions for Property Leases: Direct Entry and REPV. The transaction requires on-line approval.

Follow these steps to enter property leases in FFIS:

Step	Action
1	RS4, Pacific West Area (PWA), or Southern Plains Area (SPA) enters the Property Lease obligation transaction into FFIS based on the Real Property Office (RPO) source document forwarded by the APMO, using an M1 (if not using RQ).
2	When entering the transaction into FFIS, use Transaction Codes of MO (Ref.) or MI (Non-ref.) and Transaction Type 01 for both codes.
3	Payments are made monthly, quarterly, or annually using a PV document with a transaction type 01 or a NO document with a transaction type 01.
4	RS4, PWA, and SPA enter the payment transaction into FFIS based on invoices submitted against the signed lease.
5	When entering the payment transaction, use a Transaction Code of PV or NO (one-time payment for Direct Entry, and recurring for REPV) and a Transaction Type of 01.
6	Obtain on-line approval from whoever in RS4, SPA and PWA has security to approve this transaction.

• Acquisition of Real Property

Acquisition of Real Property can be entered as an Obligation and Payment or just a Payment. RS4, PWA, and SPA enter all three transaction types into FFIS.

The Area/Property Management Officer (APMO) is responsible for seeing that the vendor (property owner) is added to FFIS Vendor table and that a screen print of FFIS Vendor table accompanies the Public Voucher (SF-1034) forwarded to NFC, RS4.

Follow these steps when working with an Acquisition of Real Property spending activity:

Step	Action
1	Based on the AD-700 received from the ordering office, APMO prepares a Public Voucher (SF-1034) and forwards it to RS4 (or SPA, PWA) for direct entry in FFIS.
2	RS4, PWA, and SPA enter the Obligation transaction into FFIS using the Public Voucher (SF-1034) as the source document using the Transaction Codes MO (Ref.) or M1 (Non-ref.), and the Transaction Type of 01.
3	RS4, PWA, and SPA enter the Payment transaction type by using the Public Voucher 1034 as the source document. The transaction is entered using a Transaction Code of PV (Ref.) and a Transaction Type of 01. When entering a payment only, use a Transaction Code of NO (Non-ref.) and a Transaction Type of 01.
4	Obtain on-line approval from whoever in RS4, SPA and PWA has security to approve this transaction.

• Training

Employee training is now recorded in the TRAI system for informational purposes only. The preferred method to purchase training is by the purchase card or convenience check. Training can also be purchased using a Purchase Order. If this is not applicable, obligations and payments are directly entered in FFIS. The Training spending activity has three transaction types: Obligation, Direct Disbursement, and Payment.

ARS records training directly into FFIS using a Miscellaneous Order document (M1), and the subsequent payment is recorded with a Payment Voucher document (PV) or Direct Disbursements document (DD) depending on the vendor; as follows:

Step	Action
1	Fundholder issues an SF-182 and forwards it to RS4, SPA/PWA (as applicable) for entry in FFIS.
2	RS4, PWA, and SPA enter the training Obligation into FFIS using the signed SF-182 as the source document using the Transaction Codes MO (Ref.) or M1 (Non-ref.) and Transaction Type of 01.
3	When the invoice is received from the vendor (Non-Federal Commercial), RS4, PWA, and SPA enter the Payment transaction into FFIS. This transaction uses a Transaction Code of PV (Non-Fed. Commercial) and a Transaction Type of 01. (See Note below)
4	Obtain on-line approval from whoever in RS4, SPA or PWA has security to approve this transaction.

Note: For training acquired from OPM or another federal agency, the NFC OPAC Unit enters the Direct Disbursement into FFIS. The transaction uses a Transaction Code of DD (OPAC Federal) and a Transaction Type of OP.

• Contracts (Non-Major Construction)

The Contracts spending activity includes contracts for services, supplies, equipment, and construction. Contracts have three possible transaction types: Obligation, Payment, and Advance Liquidation/Payment.

There are two types of Payments: Advance Payment prior to service and Payment for services rendered.

Follow these steps to complete a contract:

Step	Action
1	Initiating office completes an AD-700, Procurement Request, forwarding it to the contracting office.
2	Contract office executes the contract, which is an obligation and a legally binding document/agreement, to pay for goods or services.
3	<p>The contract office checks the vendor table for vendor code, prints the screen and sends the contract to RS4, PWA/SPA to be direct entered into FFIS. Components of a contract package may include an SF-1442, SF-30, SF-33, SF-26 award document, and an FFIS vendor print screen validating the code.</p> <p>Note: It is imperative that the correct vendor code is identified so that payment goes to the correct remittance address.</p>
4	<p>RS4, PWA, and SPA enter the obligation transaction with a Transaction Code of 01 into FFIS using the source documents (reference Step 3), as follows:</p> <ul style="list-style-type: none"> • Miscellaneous Order (MO Document), if an RQ document was previously entered, or • Non-Referencing Miscellaneous Order (M1) document, if an RQ document was not previously entered
5	<p>RS4, PWA, and SPA enter the advance payment using the AR-305 with the invoice as the source document, with a Transaction Code of NO (non-referencing document), which obligates and pays, and a Transaction Type of AV. See example below.</p> <p>ARS issues an advance using an NO document and an obligation for the remaining balance on an MO/M1 document. In order to liquidate the advance, a second NO is entered reversing out the advance, liquidating the obligation, and recording the actual expenditure.</p> <p>All other payments are entered using the AR-305 with the invoice as the source document (required for approval of payment) with a Transaction Code of PV (Referencing Payment Voucher) authorizing payment, or an NO (non-referencing document) which obligates and pays in one document, and a Transaction Type of 01.</p>
6	<p>Once services have been rendered against an advance, RS4, PWA, and SPA enter the Advance Liquidation/Payment transaction into FFIS using the AR-305 with the invoice as the source document. A Transaction Code of NO (non-referencing document), which obligates and pays in one document, and a Transaction Type of AV/01 are used.</p>

Step	Action
7	Obtain on-line approval from whoever in RS4, SPA or PWA has security to approve this transaction.

Example: \$1000.00 Contract with 30% advance

1. With source documents, including ARS-305 with invoice (in the amount of \$300), RS4, PWA, SPA issues an advance using an NO/AV document which obligates and pays \$300.
2. The remaining obligation balance on the contract in the amount of \$700.00 is entered on an MO/M1 document.
3. To liquidate advance, RS4, PWA, SPA enter Line 001 NO on the AV for \$300.00 with I/D indicator of D.

• Extramural Agreements

Extramural Agreements include Standard and Specific Cooperative Agreements, Grants, Assistance type Cooperative Agreements, and Research Support Agreements where ARS is the requesting agency and the source of funding in the vast majority of cases. These are all outgoing agreements. Currently, ARS enters into agreements with other USDA agencies, Federal Government agencies, and non-federal entities. An Requisition (RQ) documents may be entered in FFIS to commit funds related to these agreements. The miscellaneous Order MO/M1 documents record the obligation.

Depending on the type of organization the agreements is established with, Payment Voucher PV/NO documents or Direct Disbursement DD/ND documents are entered directly in FFIS in order make the payment and the expenditure. If the vendor is domestic, methods of payment are check/EFT or Letter of Credit (LOC). If the vendor is foreign, methods of payment are check/or manually through NFC's Certification Unit (ACH or Fed wire).

Extramural Agreements use four transaction types: Obligation (MO/M1), Payment (PV/NO), Advance Liquidation/Payment (NO), and Direct Disbursement (ND). RS4, PWA, and SPA enter the first three transaction types into FFIS. RS4 enters the last transaction type, Direct Disbursement (ND). Follow these steps when processing Extramural Agreements when ARS is the requesting paying agency:

Step	Action
1	An AD-700 is prepared by the fundholder and sent to the respective agreements office, ADO or EAD.

Step	Action
2	RS4, PWA, and SPA enters the Obligation transaction (MO or M1) into FFIS using the ARS-451 Signed Agreement as the source document.
3	Use the Transaction Codes of MO (Ref.) or M1 (Non-ref.) and the Transaction Type of 01.
4	<p>RS4, PWA, and SPA enter the Payment transaction into FFIS, using the source document with the approved invoice from ADO or EAD. The Transaction Code of PV and a Transaction Type of 01 or a Transaction Code of NO and a Transaction Type of AV are used when an advance payment is made.</p> <p>To liquidate an advance, RS4, PWA, and SPA enters the Advance Liquidation/Payment transaction using the source document with invoice. The Transaction Code of NO and a Transaction Type of AV/01 is used.</p>
5	Obtain on-line approval from whoever in RS4, SPA or PWA has security to approve this transaction.

- Letter of Credit

The Letter of Credit (LOC) method of payment for research agreements with universities and non-profit organizations, allow these organizations to draw down funds as needed through Health and Human Services Payment Management System (PMS) and cannot exceed the authorized amount. ARS has delegated FFIS spending activities for LOC to RS4 for the entire agency.

Step	Action
1	Based on signed ARS-451, Research Agreement, or an approved OF-347, Order for Supplies or Services (Task Order document), for an RSA (Research Support Agreement), RS4 enters the obligation(s) for the award amount using an M1 document type and Trans Type 01.
2	HHS sends an SF-224, Statement of Transactions, to Treasury and to RS4.
3	RS4 runs monthly reports from HHS PMS on behalf of ARS identifying the amount of money drawn down summarized by Treasury Symbol and compares them to the SF-224.
4	Quarterly, RS4 records the disbursements to the specific program codes based upon HHS reports using an ND with a transaction type of OP.

- Research Support Agreement

Research Support Agreements are cost-reimbursable arrangements in which ARS may acquire goods and/or services, including limited personal services, from a state cooperative institution. The Research Support Agreement (RSA) is handled in the same manner as the Extramural Agreement (above), with the following exceptions:

- The Obligation source document is the OF-347, Order for Supplies or Services (Task Order document)
- RS4, SPA, PWA enters the Payment transaction based on the approved ARS 305

- Intergovernmental Personnel Act Agreement (IPA)

Intergovernmental Personnel Act (IPA) Agreement (Form OF-69) Mobility Assignment Program establishes an agreement which constitutes the written record of the obligations and responsibilities of the parties to a temporary assignment arranged under the provisions of the Intergovernmental Personnel Act of 1970 (revised 1997). The IPA authorizes assignments to or from state and local governments, institutions of higher education, Indian tribal governments, and other eligible organizations intended to facilitate cooperation between the federal government and the non-federal entity through the temporary assignment (for a limited period) of skilled personnel.

There are two transaction types for the Intergovernmental Personnel Act Agreement (IPA) spending activity: Obligation and Payment.

Follow these steps when working with an Intergovernmental Personnel Act Agreement:

Step	Action
1	RS4, PWA, and SPA enter the Obligation in FFIS using the source document of OF69, Assignment Agreement.
2	A Transaction Code of MO (Ref.) or M1 (Non-ref.) is entered with a Transaction Type of 01.
3	RS4, PWA, and SPA enter the Payment transaction in FFIS using the approved invoice (ARS 305) as the source document. A Transaction Code of PV and a Transaction Type of 01 is used.
4	Obtain on-line approval from whoever in RS4, SPA or PWA has security to approve this transaction.

• Outgoing Interagency Agreements

In the context of Outgoing Interagency Agreements, ARS is the ordering/requisitioning organization for services, supplies, or equipment on a cost-reimbursable basis. When this occurs, the financial arrangement would be viewed by the other agency as a reimbursement, but to ARS, it represents an obligation to pay usually from the XO1 (direct) appropriation. An exception would be circumstances where ARS will not be the basic source of funding but is given funds via an Interagency Reimbursable Agreement establishing an X08 account, and in turn, the funds are given to a third party via the Outgoing Interagency Agreement.

The Interagency Agreements spending activity uses three transaction types: Obligation, Direct Disbursement, and Payment.

If the agreement is with another Federal agency, the payments are made through OPAC. Otherwise, a payment voucher must be processed to pay a non-Fed entity.

Follow these steps when working with Interagency Agreements:

Step	Action
1	RS4, PWA, and SPA enter the obligation transaction into FFIS using the AD672 (Reimbursement or Advance of Funds Agreement) as the source document.
2	Use a Transaction Code of MO (Ref.) or M1 (Non-ref.) and a Transaction Type of 01.
3	RS4, PWA, and SPA enter the Payment transaction into FFIS, using the Invoice as the source document for non-OPAC agencies/organizations.
4	Use a Transaction Code of PV/NO for advance payment and a Transaction Type of 01.
5	Obtain on-line approval from whoever in RS4, SPA or PWA has security to approve this transaction.

• Work Study Agreement

The College Work-Study Program (established under the Higher Education Act of 1965) is administered by the U.S. Department of Education as a financial-aid-to-students program. The objective of the program is to provide part-time employment for undergraduate, graduate, and professional students who want to continue their studies but are in financial need. The funds are to be used to pay a portion (up to 70%) of the students' earnings.

The Agency/Management unit enters into an agreement with the university for the purpose of enabling qualified students to participate in work-study programs through employment offered by the agency. The university is identified as the employer in the agreement.

If the university is not in the FFIS Vendor table, the unit administrative officer/technician forwards the following information to their vendor administrator requesting the university be established in the FFIS Vendor table:

- Vendor name
- Vendor Code (taxpayer identification number)
- Vendor's remittance address, or the provider's billable address
- Contact – vendor's representative to be contacted, if necessary
- Phone Number – Vendor's phone number for contacting, if necessary
- Etc. – Any additional information required by the vendor administrator to add the vendor record

The university bills the agency (monthly or quarterly) for amounts representing the agency's share of enrollee's salary (usually 50%, plus employer costs of social security and an administrative surcharge). The unit administrative officer/ technician verifies and certifies the bill as accurate and forwards it to RS4, SPA, PWA, as applicable. A copy of the agreement and print screen of the FFIS Vendor table must accompany the initial invoice from the institution of higher learning.

The Work Study Agreement spending activity uses two transaction types: Obligation and Payment.

Follow these steps when processing a payment of work study:

Step	Action
1	SPA, RS4, and PWA establish an obligation transaction using the Agreement as the source document.
2	SPA, RS4, and PWA use a Transaction Code of MO (Ref.) or M1 (Non-ref.) and a Transaction Type of 01.
3	Upon receipt of the invoice received by the ARS location office and forwarded, RS4, PWA, and SPA enter the Payment transaction using the Invoice as the source document.
4	SPA, RS4, and PWA use a Transaction Code of PV/NO and a Transaction Type of 01.
5	Obtain on-line approval from whoever in RS4, SPA or PWA has security to approve this transaction.

- Reimbursable (In-Coming) and Trust Fund Agreements

Reimbursable Agreements are between two parties, wherein one party (the performing organization) agrees to furnish the other (ordering/requisitioning organization) services, supplies or equipment on a cost-reimbursable basis. In addition, reimbursements to the appropriation include:

1. The sale and repurchase of assets.
2. Deductions for quarters and subsistence.
3. Agreements under the United States-Israel Binational Agricultural Research and Development Fund (BARD).

In the context of incoming-reimbursable agreements, ARS is the performing agency. Reimbursable activities are funded and accounted for through ARS Appropriation Code X08.

Types of reimbursable agreements include:

1. Agreements with other federal agencies (interagency agreements)
2. BARD Agreements

3. Participating Agency Service Agreements (PASA) and Resource Support Service Agreements (RSSA) via reimbursable agreements with the Office of International Cooperation and Development (OICD). The funds are given to ARS to render technical assistance to developing countries (PASA), or to impart knowledge and information in support of in-country programs (RSSA).
4. Reimbursable cooperative agreements to conduct cooperative research, or for the party to share in the cost of a research project, or for ARS to allow the use of any facility (a lease may be required) or service.
5. Proceeds from sale of assets determined eligible under the Federal Property Management Regulations (FPMR) are available for obligation to purchase replacement property during the year in which the property was sold plus one additional fiscal year.
6. Reimbursement for quarters and subsistence when individuals (ARS and Non-ARS Employees) are furnished quarters (housing) or eat meals at ARS operated facilities, and must reimburse the government for these benefits. Method of payment can be made through payroll deduction, by cash, check, or money order payable to Agricultural Research Service, USDA. Reimbursable agreements must be established to collect the payments when ARS rents quarters or provides subsistence to employees of cooperating organizations.

Trust Fund Agreements are arrangements wherein funds are contributed to ARS for the purpose of supporting in-house research or research-related services of mutual interest to the Agency and the contributing party. A major characteristic of this type of agreement is that funds are provided to ARS in advance of the actual start of the work, and the terms of the agreements are general and briefly stated.

Trust fund activities are funded and accounted for through ARS Appropriation Codes X91, X92, X93, or X95. Types of Trust Fund Agreements include:

1. Grant (Incoming [Appropriation Code X93]). ARS may receive grants from states, counties, municipal agencies, universities and colleges, associations, companies, organizations, and individuals for the purpose of supporting in-house research or research related services of mutual interest to the agency and the contributing party.
2. Trust Fund Cooperative Agreements (Appropriation Code X93). Involves cooperative research as opposed to in-house research support applicable to an incoming grant. It differs from a reimbursable cooperative agreement in that the cooperator pays in advance for their share of the project cost because of the advance payment requirement, the financial management is considered a trust fund and is so treated in the accounting system.
3. USDA-Awarded Competitive Grants (Appropriation Code X93). ARS can be the recipient of a competitively awarded grant under the USDA

Sponsored Competitive Research Grants Program. Other eligible parties include state agricultural experiment stations, colleges and universities, other federal agencies, private organizations, or corporations and individuals. The purpose of these grants is to promote research in food, agriculture and related areas. Since the funds are made available to the agency in advance of the actual start of the work and remain available until expended (the duration of the grant period is specified in the agreement, but must not exceed 5 years), competitive grants are treated in the accounting system as trust funds.

4. Technology Transfer Cooperative Research and Development Agreements (CRADA) (Appropriation Code X91 and X92). CRADA's are processed and administered by the Office of Technology and Transfer (OTT). They are used when the cooperator provides funds to the Agency as funding for cooperative research involving the transfer of technology from ARS to another party (or from another party to ARS), and the licensing of patents. Although mutual contributions are required, the agency is not authorized to contribute funds other than making non-monetary contributions in the form of (animals, equipment, facilities, land, or scientific expertise).

From a fund management perspective, these agreements involve two separate and distinct fund receipts:

- a) The receipt of funds by ARS from the cooperator to enhance the accomplishment of technology transfer (Appropriation Code X91) and
 - b) Receipt by ARS of a share of the licensing and royalty fees resulting from ARS patents (Appropriation Code X92).
5. Gifts/Donations and Bequests (Appropriation Code X95) are treated as a form of trust funds in the accounting system when they involve monetary contributions. Other contributions of a monetary nature include real and personal property, and voluntary uncompensated services. Currently, specific legislative authority for acceptance of gifts/donations and bequests on behalf of ARS, relates to the U.S. National Arboretum and, to the Regional Research Centers (ERRC, NRRRC, SRRC, and WRRC).

Note: The Administrator, ARS, is the only one who can accept monetary and real property gifts/donations or bequests. The Deputy Administrator, AFM, is redelegated authority for acceptance of personal property.

Follow these steps when working with incoming Reimbursable and Trust Fund Agreements:

Step	Action
------	--------

1	When ARS is the performing agency, an ARS-425 is entered into ARIS and an AD-672 Reimbursable Agreement is sent along with ARS Form 324, Transmittal of Reimbursable or Trust Fund Agreement, with screen print of Vendor table record to RS4.
2	RS4 monitors processing against the agreement and has ABCO bill for reimbursement of expenditures.
3	Billing is identified using a FFIS Data Warehouse (FDW) report entitled, "Incoming (Soft) Funds Report (ISF). This report details all expenditures associated with Fund 08 and account type 61. Note: Account types 64 (Quarters) and 68 (Sale of Assets) are eliminated and account type 63 (Specialized) is billed as needed.

Note: The agency retains ten percent (10%) funding for all incoming agreements to cover overhead, except where noted.

- Foreign Service Allowance and Benefits

The Foreign Service Allowance and Benefits spending activity uses payment transaction type.

Follow these steps when working with a Foreign Service Allowance and Benefits spending activity:

Step	Action
1	RS4 enters the transaction Obligation and Payment transaction into FFIS using the SF-1069 and SF-1170 as the source documents.
2	Use a Transaction Code of NO and a Transaction Type of 01.
3	Obtain on-line approval from whomever in RS4, SPA or PWA has security to approve this transaction.

- Payroll Advance for Relocation Abroad

The Payroll Advance for Relocation Abroad spending activity uses the payment transaction type. ARS direct enters payroll advances for relocation abroad using an NO document.

Follow these steps when working with a Payroll Advance for Relocation Abroad spending activity:

Step	Action
1	RS4 enters the Obligation and Payment transaction in FFIS. There is no source document. Note: Payroll advances for relocation abroad are liquidated through the ABCO system.
2	Use a Transaction Code of NO and a Transaction Type of AV.
3	Obtain on-line approval from whoever in RS4, SPA and PWA has security to approve this transaction.
4	Notification of the payment is communicated to Office of the Director, FMD who requests NFC's Billings and Collections Branch to initiate the collection via payroll deduction after 30 days as an offset to the advance of pay.

- Royalty Payments

A request to process a royalty payment is prepared by the Office of Technology Transfer and forwarded through FOB/FMD to RS4. The Royalty Payments spending activity uses the Obligation and Payment transaction type.

Follow these steps when working with the Royalty Payments spending activity:

Step	Action
1	RS4 enters the Obligation and Payment transaction into FFIS using the Request from Office of Technology Transfer as the source document.
2	RS4 uses a Transaction Code of NO and a Transaction Type of 01.
3	Obtain on-line approval from whomever in RS4, SPA or PWA has security to approve this transaction.

- Print Orders

ARS records Government Print Orders through direct entry into FFIS. ARS uses M1 to obligate funds and NFC enters the DD to record disbursement similar to other types of transactions filled through OPAC. For printing less than \$1,000, ARS uses PCMS. The Print Orders spending activity uses two transaction types: Obligation and Direct Disbursement.

Follow these steps when working with the Print Orders spending activity:

Step	Action
1	RS4, SPA/PWA enters the transaction into FFIS using the source document SF-1.
2	RS4, SPA/PWA uses a Transaction Code of MO (Ref.) or M1 (Non-ref.) and a Transaction Type of 01.
3	For OPAC, RS4 enters the Direct Disbursement transaction into FFIS. A Transaction Code of DD and a Transaction Type of OP is used.

- Miscellaneous Payments

Miscellaneous payments include public vouchers, one-time payments, interlibrary loan costs, U.S. Postmaster, small package couriers (UPS, FedEx), EEO cash settlements, civil rights claims, MSPB personnel cash settlements (including attorney fees associated with settlement), and Tort claims under \$25,000. ARS records the cost through direct entry in FFIS with a MO/M1 to obligate and PV/NO (Payment Voucher).

Follow these steps when working with Miscellaneous Payments:

Step	Action
1	RS4, PWA, and SPA enter the Payment transaction in FFIS using the Public 1034 or any other approval document as the source document.
2	Use a Transaction Code of MO (Ref.) or M1 (Non-ref.) and a Transaction Type of 01.
3	Use a Transaction Code of PV/NO and a Transaction Type of 01.
4	Obtain on-line approval from whomever in RS4, SPA or PWA has security to approve this transaction.

- Settlements/Sensitive Payments

The Settlements/Sensitive Payments spending activity uses the Obligation and Payment transaction types.

Follow these steps when working with the Settlements/Sensitive Payments spending activity:

Step	Action
1	RS4 enters the Obligation transaction in FFIS using the Public Voucher 1034 or any other approval document as the source document.
2	Use MO or M1 with a Transaction Type of 01.
3	Use a Transaction Code of PV/NO and a Transaction Type of 01.
4	Obtain on-line approval from whomever in RS4, SPA or PWA has security to approve this transaction.

• Major Construction

The following steps are taken for the Major Construction spending activity: Facilities Division will:

Step	Actions
1	Prior to award, scan the FFIS Vendor Table to ensure that the vendor with associated remittance address is reflected in the Vendor Table along with the appropriate payment terms. If the appropriate vendor is not found in the FFIS VEND table, add the vendor with the appropriate vendor information to the FFIS VEND Table. Screen print the vendor record for the Payment File. For BA and PIADC/NAA, provide the screen print of the vendor record with other contract materials to Reporting Section 4 (RS4), NFC.
2	When contract is ready to award, request AD-700 from the appropriate Area/Location. Note: Since the AD-700 is requested at the point of award, it was determined that there would be no value added to enter an RQ document and the M1 document to obligate the contract would be entered based on the award and receipt of the AD-700.
3	Establish a Payment File for each contract which will include: <ul style="list-style-type: none"> • Screen Print of Vendor Table record • Screen Print of M1 document • Invoices • 371/372 documents • Payment Certification (Contractor certification) • Screen Print of PV document (evidence of payment processed)

Step	Actions
4	At the time of award, enter an M1 obligating document into FFIS and screen print a copy of the record for the Payment File. For BA and PIADC/NAA, send the awarded contract and screen print of the vendor record to RS4.
5	Send the contract cover sheet with M1 screen print to FMD for funds control purposes. (BA and PIADC/NAA actions go to the servicing funds control office.)
6	When invoices are received, obtain signature approvals internal to FD to pay invoices and annotate accounting data including VXP number on the ARS-305 (Invoice Transmittal).
7	Send the approved invoice with the Payment File to FMD. Maintain a log of payment files sent to FMD. (BA and PIADC payments go to RS4)

In the event that an Area/Location executes an obligating document via direct entry (SPA/PWA/RS4) or a feeder system (PRCH, PCMS, etc.), rather than direct entry by FD, Area office sends copies of obligating/payment documents issued from the Area/Location, to FMD for funds control purposes. NOTE: Payments associated with these feeder system document will also be paid via a feeder system. Payments for directly entered obligating documents will be done by SPA/PWA/RS4, NFC, as applicable.

Financial Management Division, Fiscal Operations Branch will:

Step	Actions
1	Maintains funds control records received from FD (or Area office) for each major construction project, except for projects in BA and PIADC, NAA.
2	Enters obligating and disbursing documents into Location Obligation Tracking System (LOTS) records to render monthly Status of Funds Reports in accordance with P&P 325.1.
3	Establishes program codes in the ACXT, PGMT, and DVAL tables, for each major construction project with associated reporting category.
4	Upon receipt of an allocation, enters a "BL" document into FFIS at the Area/Location/MU levels and an "SA" document to define budget object codes by program code. Screen print the BL and SA documents for the LOTS file.
5	Upon receipt of an approved invoice and the Payment File by project from FD, enters a "PV" document into FFIS and makes a screen print of the document for the Payment File.

Step	Actions
6	Returns the Payment File to FD.

In the event that a contract is funded by both Agency R&M and B&F, FD and FMD will provide the same service shown above; i.e., obligate contracts and make payments, respectively. Funds control documents for the R&M program code would be provided to the respective Servicing Funds Control Office (SFCO).

- Miscellaneous Disbursement by Foreign Embassies

There are two types of Miscellaneous Disbursement by Foreign Embassies spending activities: Obligation with Disbursement and Disbursement Only.

Disbursement with Obligation

The Disbursement with Obligation uses the M1 and ND transaction types. Follow these steps when working with the Disbursement with Obligation transaction:

Step	Action
1	RS4 enters the transaction in FFIS using the Signed Agreement as the source document.
2	Use a Transaction Code of M1 (Non-ref.) and a Transaction Type of 01.
3	RS4 enters the Disbursement transaction in FFIS using the SF-1221 as the source document. On-line approval is not required.
4	Use Transaction Code of ND and a Transaction Type of OP.

Disbursement Only

Follow these steps when working with the Disbursement Only transaction

Step	Action
1	RS4 enters the transaction in FFIS using the Signed Agreement as the source document.
2	RS4 enters the Disbursement transaction in FFIS using the SF-1221 as the source document. On-line approval is not required.
3	Use Transaction Code of D2 and a Transaction Type of OP.

- Departmental or InterAgency Business (Greenbook Charges)

ARS uses the Miscellaneous Order document M1 to record the obligation of funds. Because of the use of OPAC, the Direct Disbursement document (DD) is used to record disbursement portion of the transaction. The Greenbook Charges spending activity uses the Obligation and Direct Disbursement transaction types.

Follow these steps when working with Greenbook Charges spending activity:

Step	Action
1	Fiscal Operations Branch (FOB) enters the Obligation transaction in FFIS using the Greenbook Estimates as the source document.
2	Use a Transaction Code of M1 and a Transaction Type of 01
3	NFC OPAC enters direct disbursement transactions in FFIS using the DD document.

- Security Clearances

ARS obligates funds for security clearances using the MO/M1 documents. Payments are recorded using the Direct Disbursement document (DD). The Security Clearances spending activity uses the Obligation and Direct Disbursement transaction types.

Follow these steps when working with the Security Clearances spending activity:

Step	Action
1	RS4 enters the Obligation transaction in FFIS using the _____ source document.
2	Use a Transaction Code of M1 and a Transaction Type of 01.
3	NFC enters the Direct Disbursement transaction in FFIS using the GOALS as the source document. Use a Transaction Code of DD and a Transaction Type of OP.

• Deposit Accounts

The Deposit Accounts spending activity uses the Advance Payment and Advance Liquidation/Payment transaction types.

Follow these steps when working with the Deposit Accounts spending activity:

Step	Action
1	RS4 enters the transaction in FFIS using the memo or appropriate documentation as the source document.
2	Use a Transaction Code of NO and a Transaction Type of AV.
3	Obtain on-line approval from whomever in RS4, SPA or PWA has security to approve this transaction.
4	RS4 enters the Advance Liquidation/Payment transaction in FFIS using the ARS-305 with Invoice as the source document.
5	Use a Transaction Code of NO and a Transaction Type of AV/01.
6	Obtain on-line approval from whomever in RS4, SPA or PWA has security to approve this transaction.

• Transit Benefit Payments

ARS has entered into a reimbursable agreement with the Department of Transportation (DOT) to administer the Transit Benefit Program. DOT provides transit benefit vouchers directly to the employees who have provided the appropriate documentation to qualify for receipt of these payments. There are some locations where the local transit authorities will not accept the transit vouchers and payments have to be made directly to the eligible employees. The following process has been established to obtain these payments through FFIS:

Step	Action
1	The Area Transit Benefits Coordinator prepares an SF-1164 reflecting the employee's name and SSN, budget object class 1285, and the Headquarters accounting code established to cover these costs.
2	With the exception of SPA and PWA, the approved forms are to be sent to: National Finance Center FFIS Operations and Reporting Branch (FORB), Section #1 P.O. Box 53326 New Orleans, LA 70160

3	FORB, Section #1 directly enters the NO documents into FFIS using the employee's salary vendor code. For SPA and PWA (if applicable), the approved forms go to the appropriate Area Budget and Fiscal Officer to be direct entered into FFIS.
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• Document Numbering

Each FFIS document has a unique record identifier (document ID). A document ID is assigned at the time the document is directly entered into FFIS or at the time the feeder interface generates the document. A document ID is made up of three elements:

- Transaction code (two characters)
- Sec 1 code (DVSN) (two characters)
- Document number (up to eleven characters)

Example: M1 64 TRG64022056

Appendix C provides a complete list of document numbering schemes by document type.

• Researching Spending Documents

The following inquiry tables are the most frequently used when researching spending activities:

- View Obligation Documents – OBLH, OBLL
- View Payment Voucher Documents – PVHT, PVL
- View treasury schedule – TSCH, TSCL
- View checks – CHKH, CHKL
- View EFTs – EFTH, EFTL
- View cancelled checks/EFTs – CXL
- View all documents processed for a Vendor – VXR
- View all documents associated with a specific document - DXR

See Pages 179 - 256 of the FFIS Learner's Guide for a complete list of Inquiry tables and their associated descriptions.

- Prompt Payment Act

The Prompt Payment Act is a law that specifies certain types of payments to private vendors must be paid within a specified number of days that an agency receives goods/services, *or* when an agency receives the invoice from the vendor. If the payment has *not* been generated by the specified date, the agency must pay the vendor interest on the funds due.

The log date must be populated to correctly calculate the payment date. If the log date is not populated, the system date is used to calculate the payment date. One example of determining when a document should be scheduled for payment is whether or not the payment is subject to the Prompt Payment Act.

- What is Subject to Prompt Payment

Using various system options, ARS defines what types of vendors, documents and accounting events are subject to prompt payment. The table below outlines what FFIS tables help you determine if the payment is subject to prompt payment rules:

Reference Table	Definition
Vendor Type Table (VTYP)	Indicates which vendors are subject to prompt payment.
Transaction Category Table (TCAT)	Defines what types of documents are subject to prompt payment.
Accounting Entries Definition Table (ACED)	Indicates which accounting entries are subject to prompt payment.

- Processing Data Through Spending Feeder Interfaces
 - Payroll
-

Summarized records are loaded to FFIS and processed in full and disbursed from PACS system. Detailed accounting records are loaded directly to FDW from the PACS system. All detailed reporting of payroll is handled through FDW.

- Travel and Transportation

FFIS data related to Travel and Transportation is processed through the TRVL, MPOL, TRAN, and GVTIS systems.

- Data from the spending activities of Travel Advances, and Travel Vouchers is processed through TRVL.
- Data from the Gasoline/Motor Pool spending activity is processed through MPOL.
- Data from the Government Bill of Lading spending activity is processed through TRAN.
- Data from Government Transportation of People spending activity is handled through GVTIS.

- Utilities and Telephones

FFIS data related to Utilities and Telephones is processed through the UTVN, TELE, and FTSP systems:

- UTVN processes data from the Utilities spending activity.
- TELE processes data from the Commercial Telephone spending activity.
- FTSP processes data from the Federal Telephone Payments spending activity.

- PCMS/FFIS Interface

The following describes the PCMS process and the interface to FFIS:

Cardholder

Cardholders can only purchase on behalf of one agency using one purchase card or associated convenience checks. Any cardholder purchasing on behalf of multiple agencies, must have individual purchase cards and associated convenience checks for each agency serviced. This is required, because each agency has a separate FFIS application. If an FFIS document is created and the accounting has different agency codes, it will cause the document to reject in FFIS.

Monday through Friday new transactions from the bank are loaded into PCMS between 11:30 am and 12:00 pm CST. Once a transaction is loaded, the cardholder has seven calendar days to reconcile it before it is sent to FFIS. It is very important that cardholders reconcile transactions weekly; it is recommended that one day be selected to routinely reconcile on a weekly basis. Reconciliation involves the following:

- a. Accepting the profile accounting code and budget object code (2670) as is, or changing the code(s), and;
- b. Inputting a Document Control Number for each transaction into the "Agency Reference Number" field of PCMS to enable the Servicing Budget and Fiscal Officer (SBFO) to validate PCMS transactions that appear on the Agency's FFIS Transaction Detail Listing. Use of the Agency Reference Number (ARN) was previously optional, but is now mandatory. In order to be consistent in assigning the Document Control Number, the cardholder will input their first initial, last name, followed by their sequentially assigned document control number; e.g., D Jones 0001. Only the first 20 characters of the ARN will be passed to FFIS.

Cardholders can run the cardholder report in PCMS, which has been updated to include the accounting status that indicates whether the transactions are locked. The following alpha characters are used to indicate the accounting status: O = Obligated; P = Paid by FFIS; L = Locked; N = New (not obligated and not paid).

PCMS Interface to FFIS

1. After a new transaction has been in PCMS seven days, the interface runs that sends it to FFIS to be paid. The interface locks every transaction sent to FFIS to prevent further changes and possible out-of-balance situations. When a cardholder tries to change the accounting on a locked transaction, the following message appears: "Accounting changes cannot be made until this transaction completes the FFIS/PCMS reconciliation."
2. When transactions have been accepted by FFIS, they are sent back to PCMS and PCMS unlocks the transactions. Thus, the cardholder could change the accounting on the transactions, if required. The account description field next to the accounting will say "Accepted by FFIS." During a normal cycle where a file is passed to FFIS and FFIS returns a file to PCMS, the transactions would be locked until the next day. If a file is passed from PCMS to FFIS and FFIS does not process the file, the file will not be picked up until the following day. The transactions would remain locked until they are successfully processed and accepted by FFIS. Bottom line is it could be between 36 and 48 hours or more depending upon the completion of the FFIS processing before the transaction is unlocked and available for reconciliation or adjustment by the cardholder.
3. If the transaction rejects in FFIS, the transaction will remain locked until the SBFO clears the rejected status and FFIS subsequently sends the acknowledgment back to PCMS. Cardholders (non-SBFO staff) do not "fix" rejected transactions in PCMS. Cardholders may need to provide information about the transaction to the SBFO if required to make the correction. The name of the cardholder is part of the transaction file that passes to FFIS.

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Chapter 6: SUSF File Table (SUSF) Management

• Overview

FFIS has a table called the Document Suspense File table (SUSF). Documents are stored here at all stages of their life cycle including when they are entered, processed, and corrected. Documents leave SUSF within a short period of a completed run with no errors.

The **Document Suspense File (SUSF)** stores and maintains all documents entered in FFIS at all stages of their life cycle, including:

- Held and pending documents for further data entry, processing or approval
- Rejected documents maintained for correction or approval
- Deleted documents
- Accepted documents not yet archived

All transactions entered in the feeder systems (PCMS, PRCH, TRVL, etc.) as well as those direct-entered into the ARS Foundation Financial Information System (FFIS) application will go through a series of edits at various levels of transition before they are successfully shown in FFIS. As a result, transactions that are generated may result in an error or a “reject” status within the feeder, in the feeder-to-FFIS interface, or directly in the FFIS application. All administrative offices have a role and responsibility for ensuring transactions entered in feeder systems or directly into the FFIS application, either by administrative office personnel or another office on their behalf, such as Reporting Section #4 (RS4), pass through edits at these various levels. This section provides guidance on roles and responsibilities for correcting errors in the feeder systems, the feeder systems to FFIS interface, and within the FFIS Document Suspense File (SUSF) for both feeder-system generated and direct-entered documents. The originating office is determined by the type of spending activity (agreements, training, construction, purchase orders, travel, etc.) and business processes within each SEC1 code (see Section 6.2.2).

As noted in Chapter 5, Spending, a direct-entered document such as an M1 may be entered by RS4 or the pilot sites: the Pacific West Area Office (PWA), the Southern Plains Area Office (SPA), the Facilities Division (FD), and Financial Management Division (FMD), depending upon the type of spending and business process. Alternatively, a purchase order may originate in the PRCH feeder system at the location, Area, Headquarters, or it could be direct-entered by National Finance Center (NFC).

Note: For the purpose of this guide, the originating office is defined as the office that enters documents/transactions either in a feeder system or directly into the ARS FFIS application.

The originating office that enters transactions within a feeder system at the location, Area, National Agricultural Library (NAL), Administrative and Financial Management (AFM), RS4, and the National Finance Center (NFC) shares the responsibility for ensuring all edits within these feeders as well as FFIS have been satisfied. The following guidance is provided to ensure transactions pass successfully through all edits at the following levels.

- Audience
-

The following individuals are responsible for performing the steps outlined in this chapter:

- SBFO's
- LAO/T's
- RS4
- BPMS

Note: For system-specific step-by-step instructions, please refer to the SUSF Learner's Guide.

- Contents

This chapter contains the following topics.

Topic	See Page
SUSF Management	3
Resolving Errors	5
Working with Feeder System Documents	6

- SUSF Management

All transactions directly entered into the FFIS application or emanating from a feeder system will create a document that will be reflected on the SUSF table. On a daily basis, the SBFO will monitor all documents shown in a “reject” status on SUSF. They will work with the locations and administrative offices (procurement, travel, personnel, contracting, etc.) to ensure all documents within their SEC1 code are processed in a timely manner. If they are unable to make corrections to rejected documents, they will contact the originating office for additional information or request that the transaction be corrected within the feeder system, as applicable. Please review rejected payment-related documents (PV and NO) first to avoid interest penalties that may be incurred. This may require correction of obligating or receiving documents before the payments can process correctly.

A list of Transactions by Responsible Office (see Exhibit I) identifies those offices that are responsible for specific document types. The document type is determined by the type of transaction generated within the feeder system or directly entered in the FFIS application. For instance, a V5 is generated by the PCMS-FFIS interface and an M1 or PV document is direct-entered.

- Tools for Reviewing Rejected Documents

Rejected documents can be viewed directly on the SUSF table or by generating the Document Processing Report (RGSGDP2) using the Electronic Information Distribution System (EIDS).

This report is produced by SEC1 Code and within each SEC1 Code, by Document Type and the error message(s) for each document. It will allow the Areas to identify the feeder system in which documents originated along with the document ID. For documents that are directly entered, the document ID can be used to identify the type of spending and location code, as applicable, to

facilitate research. The RGSGDP2 report will be available to the SBFOs and RS4.

- SEC1 Codes Used in the ARS FFIS Application

The following is a list of SEC1 codes used in the FFIS application:

<u>SEC1 Code</u>	<u>Allocation</u>	<u>Responsible Office</u>
01	Program Management	FMD
03	Administrative and Financial Mgmt	FMD
40	International Research Programs	FMD
05	Salary Lapse	FMD
07	Special Projects	FMD
FD	Major Construction	FD/FMD
12	Beltsville Area	SBFO
19	North Atlantic Area	SBFO
36	Midwest Area	SBFO
53	Pacific West Area	SBFO
54	Northern Plains Area	SBFO
62	Southern Plains Area	SBFO
64	Mid South Area	SBFO
66	South Atlantic Area	SBFO
82	National Agricultural Library	NAL
R4*	n/a	RS4
LOC	n/a	RS4
MISC	n/a	NFC

* The last 3 SEC1 Codes are used to indicate entries made by RS4 or associated with Letter of Credit (LOC) or Miscellaneous documents.

- Resolving Errors
 - What Causes an Error Message?
-

There are a variety of reasons that documents reject in FFIS. Both direct entered and feeder interface documents. When this happens, error codes with corresponding error messages are reflected at the bottom of the document screen.

- Types of Errors
-

Up to three types of error codes may display on the bottom of the document screen. The letter in the *last* position of the code indicates what type of error occurred:

- Warning errors provide information about a possible problem but do not stop a document from processing (for example, AS01W)
- Overridable errors require approval before the document is accepted (for example, US18Q)
- Fatal errors must be resolved before the document can be accepted (for example (SC01E)

- ERRG Table
-

The Error Guide (ERRG) table provides a detailed description of the errors encountered during processing of documents and data entry tables. Place your cursor on the error message and press <**Enter**> to access this table.

- Common Errors

Common errors related to feeder-generated and direct entered transactions rejecting on SUSF include:

- Invalid Vendor Code - the Vendor Code populated on the transaction by the feeder/interface is not valid on the FFIS VEND table
- Invalid Accounting (Fund, DVSN, ORGN, etc.) - one or more of the accounting elements populated on the transaction by the feeder/interface is not valid on the related FFIS accounting reference tables
- Missing Vendor Code - the feeder/interface did not populate a vendor code on the document (this is not uncommon as some feeders do not require a vendor code)
- Accounting Period Closed – the transaction has been processed after the accounting period cited on the document
- Expired Appropriation – transaction cites a prior year BFY; requires an override
- Vend code doesn't match original document
- Organization not equal to organization inferred from original document

- Working with Feeder System Documents

- Feeder System to FFIS Application Interface (OPAC, ABCO, PRCH, TRVL, PCMS)
-

Primary Responsible Party: NFC

Due to technical problems, some transactions that pass from the feeder to FFIS may not be able to update the ARS FFIS application. They are considered “above the line” errors and will appear on various offline error reports generated during the nightly cycle for review by NFC personnel. NFC will take the appropriate action to ensure these transactions update the ARS FFIS application. For issues they are unable to resolve, they will work with the Functional Administrator, FMD to resolve the issue(s).

• Feeder Document Rejects in SUSF

The originating office who enters transactions in the feeder systems, has the primary responsibility for ensuring transactions generated in a feeder system (PRCH, TRVL, PCMS) are accurately entered. The originating office is also responsible for verifying that batch files transmitted by PC-TRVL and PC-PRCH are received correctly by NFC. If transactions are posted to suspense accounts, NFC will research the error and make the necessary corrections. If they are unable to do so, they will contact the originating office or the designated point of contact to take the appropriate action.

There are special circumstances when the originator may not be able to make the correction within the feeder system. For instance, if a PCMS transaction is locked due to invalid accounting data, the Servicing Budget Fiscal Office (SBFO) will work with the originating office to correct the program code in FFIS and a backfeed will be generated during the nightly cycle to unlock the PCMS transaction.

Documents generated by feeder systems will derive a SEC1 code based on the accounting associated with the transaction. For instance, if a transaction is entered into PRCH with a program code of 2011901915, FFIS will derive a SEC1 code of 19 for the North Atlantic Area (NAA).

• PCMS Errors

PCMS validates the accounting before it sends the documents to FFIS, but the possibility exists that documents may still reject. A document may reject for the following reasons:

- Invalid Accounting due to differences between the FFIS ACXT and the PCMS stored version of ACXT
- Missing or invalid ACED and ACEN table entries
- Missing ACXT entries
- Funds Control Issues

When correcting rejected PCMS documents:

ALWAYS...	DO NOT...
-----------	-----------

<ul style="list-style-type: none"> • Research the accounting intended to be on the document • Change the User's profile accounting when receiving rejects for a particular user • Delete and Add only for ACXT records that must be changed • Require on Transaction Category Table (TCAT) that the documents balance to zero • Use a four-position Budget Object Code (BOC) 	<ul style="list-style-type: none"> • Change the Trans Type • Change TCAT record for V5 or V8 to accept a non-zero balanced document • Change an entry on ACXT with an Action of 'C' • Repeat the first line of any document in lines 002 and higher • Blank out the BFY Change dollar amounts • Use a two-position or blank BOC for a non-clearing account line
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• Potential PRCH Errors

Documents from PRCH may reject for the following reasons:

- Invalid Accounting
- Funds Control Issues
- Missing Vendor Code
- Invalid Vendor Code
- Invalid referencing information

When correcting errors:

ALWAYS...	DO NOT...
<ul style="list-style-type: none"> • Research the accounting intended to be on the document • Verify amounts using PRCH Inquiry prior to adjusting amounts on the FFIS document 	<ul style="list-style-type: none"> • Change the Trans Type • Delete the referencing information to get the document to process

• Potential TRVL Errors

Travel documents may reject for the following reasons:

Invalid Accounting

Funds Control Issues

Missing Vendor Code

Invalid Vendor Code

Invalid referencing information

When correcting errors, do not:

- Change the Trans Type
- Delete the referencing information to get the document to process
- Create a document to facilitate referencing (for example, if a payment document rejects because the obligation it references does not exist, do not create the obligation – research why the obligation did not make it to FFIS)

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Chapter 7: Accounting Adjustments

• Introduction

There will be times when accounting adjustments will have to be made to transactions already resident in FFIS, such as changing program codes or budget object codes, moving revenue, or establishing period end estimates. Accounting adjustments can be made at the point of initiation of the document such as PRCH or PCMS or directly within the application depending on the status of payment activity. For example, if a PRCH obligation needs to be modified to reflect a different accounting code (BFY + program code) and the final payment remains outstanding, it is appropriate to modify the document via PRCH. Any documents that have been direct-entered into FFIS that are not closed must be accomplished by modifying the document via batch modification procedures to reflect the required change (see the FFIS Learner's Guide, Spending Module, for instructions for these modifications). True accounting adjustments are those documents generated when disbursement activity is complete and the document is closed. There are three documents that are used within the ARS application for this type of activity: B2, YE, and SV. These documents will be discussed in this chapter when they are used.

Users are strongly discouraged from using accounting adjustments for the purpose of making "mass transfers" obligations and disbursements from one program code to another; i.e., directly charge the appropriate program code initially. However, there will be times when obligations cannot be directly charged to the appropriate program code when incurred and this type of accounting adjustments will be required.

• Accounting Adjustment Documents

There are three standard voucher document types in FFIS that are used to complete the processes discussed in this chapter:

- B2 for expenditure adjustments;

- YE for period end estimates;
 - SV for sale of assets and general ledger adjustments - **used only by FFIS Operations and Reporting Branch (FORB), Section #1 (FORB, S#1).**
-
- Document Numbering Scheme for Standard Voucher Documents

The document numbering scheme for standard voucher documents is as follows:

Standard Voucher Documents	B2, YE, SV	Position 1 – 4: Location Mode Code Positions 5 – 11: System-generated Sequential Number (type “#” to enact automated document numbering) Example: 6402 0000001
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- B2 Document vs. Batch Modification

Before an accounting adjustment is made, the status of the document must be determined. To do so, view the OBLH table and the CLOSED AMT AND EXPENDED AMT fields. As in the example below, if the document has been fully expended and closed, it is appropriate to generate a B2 document.

NOTE: A B2 is not to be prepared to adjust a credit card purchase. The cardholder must make corrections to accounting codes and budget object codes in PCMS.

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NFC-FFIS.NFC-FFIS - TESTMULT - FF300082 - NS/ElitePlus Display
Session Edit View Tools Macro Help

ACTION: TABLEID: OBLH USERID: UJDU
*** ORDERS HEADER INQUIRY TABLE ***
KEY IS TRANS CODE, ORDER NUMBER
TRANS CODE: GA ORDER NUMBER: 127803028 DOC TYPE:
VENDOR CODE: 770518772 Q PO DATE: 09 30 01 TRANS TYPE: 01
NAME: AGILENT TECHNOLOGIES DELIVERY DATE:
COMMENTS: 1271H9366113 END DATE:
CONTACT: END DATE DESC:
INSP/ACC DAYS: 00 BUYER: COMM FLAG: SHIP TO:
NEG PYMT DAYS: 30 TEXT TYPE: FOB: SHIP VIA:
NO OF OPTIONS: 00 PURCH METHOD: EFFECTIVE DATE: 10 02 01
ALT PAYEE: /
ORDERED AMT: 11,295.59 RELATED GBL:
CLOSED AMT: 11,295.59 CLOSED DATE: 10 23 01
ACCRUED AMT: 0.00 PRINT PO: N LAST PRINT DATE:
EXPENDED AMT: 11,295.59 LAST CHG STATUS:
OUTSTANDING AMT: 0.00 CONF ORDER: N BLANKET #:
ACCEPTED AMT: 0.00 RCVR REQ: N FINAL REC FLAG:
INVOICED AMT: 0.00 INV REQ: N INVITATION #:
MISC REF AMT: 0.00 CONTRACT #: 910
HOLDBACK AMT: 0.00 RESP PERSON: 400536113
DISCOUNT % / DAYS: 0.000 / 00 ; 0.000 / 00 ; 0.000 / 00

2B

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If a document has not been expended or closed as in the example shown in the screen print below, it is appropriate to modify the obligating document via the applicable feeder system or using batch modification procedures, as appropriate. **Although the application allows users to do a modification directly to the document, it is important to modify documents using the batch function to ensure an appropriate audit trail.**

NFC-FFIS.NFC-FFIS - TESTMULT - FF300082 - NS/ElitePlus Display

Session Edit View Tools Macro Help

ACTION: R TABLEID: OBLH USERID: UJDU
 *** ORDERS HEADER INQUIRY TABLE ***
 KEY IS TRANS CODE, ORDER NUMBER

TRANS CODE: GA	ORDER NUMBER: 127803025	DOC TYPE:
VENDOR CODE: 450284234	A PO DATE: 09 22 01	TRANS TYPE: 01
NAME: CONTROLLED ENVIROMENT INC		DELIVERY DATE:
COMMENTS: 0521T0434100		END DATE:
CONTACT: CHARLES HUGHES		END DATE DESC:
INSP/ACC DAYS: 00	BUYER:	COMM FLAG: SHIP TO:
NEG PYMT DAYS: 30	TEXT TYPE:	FOB: SHIP VIA:
NO OF OPTIONS: 00	PURCH METHOD:	EFFECTIVE DATE: 09 22 01
ALT PAYEE:	/	
ORDERED AMT:	87,317.00	RELATED GBL:
CLOSED AMT:	0.00	CLOSED DATE:
ACCRUED AMT:	0.00	PRINT PO: N LAST PRINT DATE:
EXPENDED AMT:	0.00	LAST CHG STATUS:
OUTSTANDING AMT:	87,317.00	CONF ORDER: N BLANKET #:
ACCEPTED AMT:	0.00	RCVR REQD: N FINAL REC FLAG:
INVOICED AMT:	0.00	INV REQD: N INVITATION #:
MISC REF AMT:	0.00	CONTRACT #:
HOLDBACK AMT:	0.00	RESP PERSON: 400521100400
DISCOUNT % / DAYS:	0.000 / 00 ; 0.000 / 00 ; 0.000 / 00	

28

Ready R:04 C:013 ID:a LU:01

The following table provides the appropriate accounting adjustment based on the status of the document:

Table	Expended	Closed	Appropriate Accounting Adjustment
OBLH	----	----	Modify the original document via feeder system or create a batch modification.
OBLH	X	X	Create a B2 Document*
OBLH	X	----	Additional research is needed to check the status of the payment on PVHT. If the payment is reflected in the OUTSTANDING AMT field, create a batch PV document if affecting one of the changes as identified in the Spending Module of the Learner's Guide. If the payment is reflected in the IN TRANSIT AMT field, the user must wait until it reaches a closed status and then a B2 document can be generated.

* If a portion of the document has been expended and closed, this can be adjusted via a B2 document and the remaining amount can be adjusted via batch modification or feeder system, as appropriate.

• About the B2 Document

- Requires an approval other than the person who entered the B2:
 - The approving official must validate the accounting adjustment is for expenditures. Failure to do so will result in system assurance issues that are reported to the Functional Administrator for resolution.
 - The approving official must verify that the adjustment is for specific documents and transactions (exceptions include program realignments, reorganizations, and distribution of SRC/IRC transfers).
- Backup or supporting documentation supporting the adjustment must be kept on file
- B2 document must balance to \$0.00; therefore, the document total on the header must equal \$0.00
- Records adjustments between accounting lines
- Must consist of a minimum of two lines
- Updates the Journal Voucher and Standard Journal Table (JVLT), Budget Execution Tables (ALOC, SAIN, ALLT, etc.), Cross-Reference Tables (VXRF, DXRF, etc.) and General Ledger Tables (GLDB, GLBL, etc.).

- B2 Processing

The following provides details for completing the B2 document. To assist users in entering the B2 document into FFIS, FORM AR-B2 has been developed with instructions to provide a means to collect all necessary information prior to entering the document into FFIS and a hard copy supporting document for the transaction (Appendix J). Reference the Learner's Guide, Spending Module for specific instructions on entering B2 documents.

Accounting Technician

Step	Action
1	Print screen the ALLT for the accounting codes involved in the B2 transfer.
2	Based on the TDL or notification by Fundholder, enter the B2 document ensuring that the sum of the adjustments equal zero.
3	Screen print a copy of the B2 and pass it with supporting documentation to the approver (LAO/other accounts maintenance personnel) to apply the approval of the B2 directly in FFIS. Note: In the event there is only one fiscal person at the location, the B2 with supporting documentation must be forwarded to the SBFO for online approval.
4	Access the ALLT table to ensure the adjustments are properly reflected in FFIS.
5	Maintain the B2 documentation in accordance with established records retention schedules.

Approving Official (LAO/Funds Control Personnel)

Step	Action
1	Upon receipt of the screen print of the B2 and supporting documentation, access in FFIS and approve the transactions.
2	After the B2 document has been accepted in FFIS, screen-print the document.
3	Return the documentation and screen print of the accepted B2 to the Accounting Technician for the official record.

- Indirect Program Support Costs (IPSC)

As reimbursable agreements are executed, the administrative costs associated with establishing individual agreements are incurred and expended. Therefore, it is appropriate to generate a B2 document once an agreement is awarded to transfer IPSC from the current BFY and program code (X010101929) to the program code assigned to the agreement. NOTE: IPSC on Trust Fund and Technology Transfer (CRADA) agreements is based on the amount of the check(s) received by ARS, not the amount of the executed agreement.

The following is an example of a B2 document transferring IPSC from program code 010101929 to 934005034 in the amount of \$500:

The screenshot shows a terminal window titled "NFC-FFIS.NFC-FFIS - TESTMULT - FF300082 - NS/ElitePlus Display". The window contains the following text:

```

COMMND: 
STATUS: ACCPT
H-

DOCID: B2 01 0101MTL0024 02/12/02 09:30:25
BATID: SEC2:

STANDARD VOUCHER DOCUMENT

SV DATE: ACCOUNTING PERIOD: 05 02
ACTION: EXPENSE(E), REVENUE(R), GL(G), BUDGET(B):
BUDGET FYS: FUND:
REVERSAL PERIOD:
COMMENT: BUDGET OVERRIDE IND:
REF TRANS ID:

DOCUMENT TOTAL: 0.00

DESCRIPTION: IPSC/YC053/58-4005-9F-131
  
```

At the bottom of the window, there is a status bar with the text "Ready" and several fields: "R:01 C:010", "ID:a", "LU:01", and "NUM".

NFC-FFIS.NFC-FFIS - TESTMULT - FF300082 - NS/ElitePlus Display

Session Edit View Tools Macro Help

COMMND: █ DOCID: B2 01 0101MTL0024 02/12/02 09:31:32
 STATUS: ACCPT BATID: SEC2: 001-001 OF 002
 01-

LINE NUMBER: 001 TRANS TYPE: T0 EXP/REV/GL/BUD: E
 BUDGET FYS: 01 FUND: DIVISION:
 BUDGET ORG/SUB: COST ORG/SUB: PGM: 010101929
 BOC/REV SOURCE: 2570 SUB BOC/SUB SRCE: JOB: RPTG:
 CLOSED BFYS: CLOSED FUND:
 VENDOR: MISCG NAME: MISC VENDOR - GOVERNMENT QUANT:
 SCHD FISC YR: SCHD CAT: SCHD TYP: SCHD NO:
 D.O.: GUEST SYMBOL:
 REF TRAN ID: DOC TYP: AGREE #: ADV:
 INVOICE NO: INVOICE DATE: INVOICE LINE:
 AMOUNT: 500.00 INC/DEC IND: D ACC DATE: OBL FY:
 DESCRIPTION: IPSC/YC053/58-4005-9F-131 TREAS NO:

2B

Ready R:01 C:010 ID:a LU:01 NUM

NFC-FFIS.NFC-FFIS - TESTMULT - FF300082 - NS/ElitePlus Display

Session Edit View Tools Macro Help

COMMND: █ DOCID: B2 01 0101MTL0024 02/12/02 09:31:47
STATUS: ACCPT BATID: SEC2: 002-002 OF 002
01-

LINE NUMBER: 002 TRANS TYPE: T0 EXP/REV/GL/BUD: E
BUDGET FYS: 01 FUND: DIVISION:
BUDGET ORG/SUB: COST ORG/SUB: PGM: 934005034
BOC/REV SOURCE: 2570 SUB BOC/SUB SRCE: JOB: RPTG:
CLOSED BFYS: CLOSED FUND:
VENDOR: MISCG NAME: MISC VENDOR - GOVERNMENT QUANT:
SCHD FISC YR: SCHD CAT: SCHD TYP: SCHD NO:
D.O.: GUEST SYMBOL:
REF TRAN ID: DOC TYP: AGREE #: ADV:
INVOICE NO: INVOICE DATE: INVOICE LINE:
AMOUNT: 500.00 INC/DEC IND: I ACC DATE: OBL FY:
DESCRIPTION: IPSC/YC053/58-4005-9F-131 TREAS NO:

01-SC20W-INSUFFICNT APPROPRIATION FUNDS 01-SC03W-INSUFFICNT APPORTIONMENT FUNDS

2B

Ready R:01 C:010 ID:a LU:01 NUM

- Working with YE, Period End Estimate Document
 - About the YE Document
-

The YE document:

- Records an estimate for undelivered orders or accrued expenditures
 - Is used to generate self-reversing entries based on the information entered in the Reversal Period field on the Header
 - Updates the Self-Reversing Journal Voucher Table (RVJV) and the Journal Voucher Line Table (JVLTL)
-
- Period End Estimates (Undelivered Orders and Accrued Expenditures)
-

At the close of each fiscal year, federal statutes require all agencies to record all valid obligations for that fiscal year. These obligations are required to accurately reflect the financial status of the agency relative to its appropriated and non-appropriated funds. Obligations reflected in the records maintained by NFC must be accurate as of the end of the fiscal year.

When the feeder system and direct-entered documents are not received and entered by FORB, S1, the pilot Areas, or Facilities/Financial Management Divisions, period end estimates must be used to record those documents and transactions on YE documents into FFIS.

Period End Estimates use two transaction types: UN, estimate for undelivered orders, and DE, estimate for accrued expenditures. The YE/UN transaction code/transaction type is used to record unliquidated obligations (undelivered orders) such as training, purchase orders, contracts, etc., and the YE/DE transaction code is used to record accrued expenditures such as salaries and utilities. Reference Learner's Guide, Spending Module, for specific guidance on entering YE documents.

Further instructions will be forthcoming on business processes associated with yearend closing procedures.

- Working with SV's for Sale of Assets

Processing sale of asset transactions continues to be processed in accordance with the Financial Management Manual dated March 1990, Chapter 2400, Section 2470. The only exception to these procedures is that since AD-742's, Transfer and Adjustment Vouchers, can no longer be used in the FFIS environment, FORB, S#1 will be executing SV documents on behalf of ARS. On a **quarterly** basis, the following actions must occur:

Step	Action
1	Accounts maintenance personnel sends a screen shot of the ALLT table to FORB, S#1, noting that the transactions charged to the X08 account have been validated
2	FORB, S#1 enters a SV document to transfer revenue from the X94 account to the X08 account

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Chapter 8: Salary Lapse

- Overview

This chapter provides the steps and procedures for Salary Lapse reporting FFIS.

- Audience

The following individuals are responsible for performing the steps outlined in this chapter:

- Accounting Technicians
- SBFO's
- FMD-FOB
- BPMS

- Acronyms

The following is a list of acronyms used in this chapter and their definitions:

- BOC – Budget Object Code
- MU – Management Unit
- SAMS – Salary Management System

- Documents

The following is a list of documents used to complete the processes described in this chapter:

- BE – Budget Execution Document for Allocations
- BL – Budget Execution Document for Allotments
- SA – Suballotment Document

- Contents

This chapter contains the following topics.

Topic	See Page
FFIS Impact to Salary Lapse Policies	2
Salary Lapse Adjustments in FFIS	3

- FFIS Impact to Salary Lapse Policies

The FFIS implementation in no way affects the current salary lapse policy. However, there are several actions that are required to reflect the results of salary lapse reporting in FFIS.

• Salary Lapse Adjustments in FFIS

Salary lapse is reported three times per year: April, July and August. The following are the steps taken to report salary lapse:

Step	Action
1	Three times a year, April, July, and August, the accounting technician uses SAMS to generate salary lapse reports.
2	This report is then sent to the Area/NAL office.
3	Area/NAL office sends a consolidated report to AFM-FMD.
4	<i>Optional – if the Area uses SA documents then this step must be executed.</i> Area/NAL prepares an SA to remove the amount of salary lapse withdrawn for Object Class 1000 for each affected program. The SA is then put on hold.
5	Area/NAL prepares a BL document to remove salary lapse from program code. The BL document is then put on hold.
6	AFM-FMD sends the file to BPMS.
7	BPMS advises Area/NAL when the documents have been entered into the program management system (ARES).
8	BPMS announces that salary lapse has been approved. BPMS will announce a deadline when Areas must run their Suballotment (SA) and Allotment (BL) documents.
9	Area/NAL edit and run the Sa's and BL's.
10	BPMS prepares and executes BE document(s) to remove the salary lapse from each Area/NAL.

NOTE: For Areas that use the Suballotment (SA) document, **all** the SA documents must be run before any Allotment (BL) documents are edited or run.

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Chapter 9: Reporting

The Reporting subsystem consists of two different types of reporting:

- Financial Management Reports
 - ◆ Baseline Reports
 - ◆ Modified Baseline Reports
- External Reports
 - ◆ **FACTS I** - Used to submit proprietary accounting data to the Financial Management Service (FMS) within the Department of Treasury. Treasury uses the FACTS I submissions to develop the consolidated financial statements for the Federal Government. This report is run annually.
 - ◆ **FACTS II** - Allows ARS to submit one set of financial data for the SF-133, FMS 2108 and the prior year column of the Program and Financing Statement. FACTS II captures budgetary and select proprietary accounts and is run quart
 - ◆ **FMS 224** - Reports all cash collections and disbursements processed. This report is run monthly.
 - ◆ **FMS 224** - Reports all cash collection and disbursements processed. This report is run monthly.

Reports are created from information maintained in tables and journals. They can be obtained in a variety of ways:

- Periodic batch reports
- Reporting using Financial Data Warehouse (FDW)
- Querying using Financial Data Warehouse (FDW)

• Chapter 10: Yearend
Closeout Activities

Chapter 11: Security

• Overview

The purpose of this chapter is to issue policies and procedures regarding establishing users in FFIS and the Financial Data Warehouse (FDW) as well as provide some of the most widely-used models throughout the ARS community and the type of function provided by each one.

• Audience

The following individuals are responsible for performing the steps outlined in this chapter:

- Security Administrator
- FFIS Operations Branch (FFISOB)
- Area Administrative Officer (AAO)
- Servicing Budget and Fiscal Officer (SBFO)
- Budget Analyst
- Area Computer Specialist (ACS)
- Location Administrative Officers (LAO)
- Accounting Technicians
- Budget Assistants
- National Finance Center (NFC)

• Security Policy

With the implementation of the Foundation Financial Information System (FFIS) October 1, 2001, ARS assumed ownership of its FFIS application and is responsible for access to the system by all users, including auditors and

National Finance Center (NFC) personnel. The ARS-NFC Security Team, Information Technology Division (ITD), in close coordination with the FFIS Operations Branch (FFISOB), FMD, will be responsible for all access to the ARS FFIS applications and the Financial Data Warehouse (FDW). For audit purposes, ITD will be responsible for maintaining records on all users including the profiles needed in the performance of their duties as well as the approval of these profiles. Therefore, ITD must have on file all FFIS and FFIS Data Warehouse User Registrations/Change Request (AD-1143) forms (Exhibit 1).

It is the responsibility of the employee and their supervisor amended AD-1143's as a result of turnover, changes in duties, and new employees. Under no circumstances may a user share their identification numbers with anyone. Upon receipt and approval by the SBFO, the ARS-NFC Security Team will work with the ACS/ABFO to execute amended 1143's as quickly as possible. Upon approval, it is the ACS's responsibility to ensure that all users are able to access the ARS FFIS application, are set up with BRIO Quickview or Insight, and can access the FDW. Based on the functions of the user, it is the SBFO's responsibility to ensure that the appropriate security model is assigned to each user.

• Security Procedures

The following procedures will be followed to establish access to the ARS FFIS application as well as the FDW:

Step	Action
1	<p>Prepare the FFIS and FFIS Data Warehouse User Registration/Change Request (AD-1143) form (Exhibit 1) following the FFIS System Security Rules and Instructions for the Preparation of FFIS Access Form (Exhibit 2).</p> <p>NOTE: Enter FF03 for the ARS Production Application in Block 1 and identify whether access is also needed to the Data Warehouse. In Block 18, describe the activities to be performed; i.e., enter BL and SA documents, enter and approve PV documents, inquiry only access, add vendors to VEN table, etc. and the name of the applicable security model.</p>

2	Obtains signatures from the user, their supervisor, and initials of the SBFO.
3	<p>Submit all AD-1143's with <u>original</u> signatures through the Area Computer Specialist (ACS) to:</p> <p style="text-align: center;">ARS-NFC Security Team Attention: FFIS Security Administrator 5601 Sunnyside Avenue, Mail Stop 5122 Beltsville, MD 20705-5122</p> <p>NOTE: <i>It is recommended that the ACS retain a copy of their records.</i></p>
4	Submit all changes user ID's, profiles, and models following these same steps.

• Security Setup

Security is setup within FFIS to control user access to documents and tables. Each security model consists of security groups that represent specific documents and tables. Each security group has settings that control the ability to perform a variety of tasks such as scanning, adding, correcting, deleting, and approving. Each security group also features an override level that allows specific users to review documents and apply an override if appropriate i.e., prior year fund approval.

The models are set up to provide security access to groups of users such as LAO's, SBFO's as well as those performing system-specific functions such as Vendor Coordinators. The Security Administrator assigns a specific model to each users via the STAB (Security Table) table based on the information contained on the AD-1143.

• Commonly-Used ARS Security Models

The following provides a list of the security models commonly-used throughout ARS as well as specific models used by the pilot Areas (SPA, PWA, and FD/FMD) and Section 1, FORB, NFC. There is a description of the functions each model performs and the type of position typically assigned each model:

Commonly-used Models:

Model	Description	Typical Position Assigned to this Model
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Model	Description	Typical Position Assigned to this Model
ABFO3	<p>Allows the user to enter BL, SA, RQ, B2 and YE documents. This user also has add only capability for ACXT and DVAL tables as well as add, modify, and delete capability for the PGMT table. The user may scan the VEND table.</p> <p>Approval: this user has full approval of the YE and B2 documents.</p> <p>Override Level: 9 <i>(This permits the user to apply an override command to any overrideable error with the system.)</i></p>	SBFO, Budget Analyst and some support staff
ADMIN	<p>Allows the user to enter RQ, B2 and YE documents. The user may scan the VEND table and all feeder tables and documents.</p> <p>Approval: this user has full approval of the B2 and YE documents.</p> <p>Override Level: 9</p>	LAO, Accounting Technician
BUDASST	<p>Allows the user to enter BL, SA, RQ, B2 and YE documents. The user may scan the VEND table and all feeder tables and documents.</p> <p>Approval: this user can approve another user's B2 and YE documents.</p> <p>Override Level: 4 <i>(This allows the user to apply an override command to overrideable errors with a severity of four or less.)</i></p>	Accounting Technician/Budget Assistant at the Area Level

Model	Description	Typical Position Assigned to this Model
INQONLY	Allows the user to scan only access to various inquiry and references tables.	Any user needing inquiry capability but not performing data entry (Contract Specialist, Computer Specialist, Office Automation Clerk, etc.)
VNDCRD	Allows the user to add vendors to the VEND table, including employee records, and enter requests on the COMT table. This user can also scan on all feeder tables and documents.	All Area Vendor Coordinators

Models used by the pilot Areas (SPA, PWA, and FD/FMD):

Model	Description	Typical Position Assigned to this Model
APMGR1X	Allows the user to enter PV and NO documents. Approval: can approve another user's PV and NO documents. Override Level: 9	Procurement Analyst or Contracting Officer
APTCH1X	Allows the user to enter PV and NO documents. Approval: can approve another user's PV and NO documents. Override Level: 4	Procurement Agent/Technician

Model	Description	Typical Position Assigned to this Model
ABFO	<p>Allows the user to enter BL, SA, RQ, B2 and YE, MO and M1, PV and NO documents. This user also has add only capability for ACXT and DVAL tables as well as add, modify, and delete capability for the PGMT table. The user may scan the VEND table.</p> <p>Approval: this user has full approval of the YE and b2 documents and can approve another user's PV and NO documents.</p> <p>Override Level: 9</p>	SBFO, Budget Analyst and some support staff
ACCTTECH	<p>Allow the user to enter RQ, MO, M1, PV, NO, B2 and YE documents. The user may scan the VEND table.</p> <p>Approval: this user can approve another user's PV, NO, B2, and YE documents.</p> <p>Override Level: 4</p>	Accounting Technician

Models used by Section 1, FORB, NFC:

Model	Description	Typical Position Assigned to this Model
NFCACTA	<p>Allows the user to scan, approve, update, run SV and JV documents other than their own. The user may scan feeder records, inquiry tables, and all vendors including employees.</p> <p>Approval: can approve another user's SV and JV documents.</p> <p>Override Level: 9</p>	Head, Section 1

Model	Description	Typical Position Assigned to this Model
NFCACBTB	<p>Allows the user to scan, enter, update, and run SV and JV documents. The user may scan feeder records, inquiry tables, and all vendors including employees.</p> <p>Approval: None</p> <p>Override Level: 9</p>	Accountant working with FACTS I and II reporting
RS41X	<p>This user is responsible for entering B2, PV, NO, YE and ND documents. Can correct and scan feeder documents and tables and can add vendor records including employees.</p> <p>Approval: this user has full approval of the B2 and YE documents and can approve another user's PV and NO documents, but not their own.</p> <p>Override Level: 9</p>	Those working Letter of Credit and Miscellaneous Disbursements by Foreign Embassies
RS42X	<p>This user is responsible for entering B2 and YE documents. User can correct and scan feeder documents and tables and vendor records.</p> <p>Approval: this user has full approval of the B2 and YE documents and can approve another user's PV and NO documents, but not their own.</p> <p>Override Level: 4</p>	Those providing direct entry for payments (PV and NO)

Model	Description	Typical Position Assigned to this Model
RS43X	<p>This user is responsible for entering B2, YE, ND, PV, NO, and SV documents. Can correct and scan feeder documents and tables and vendor records. Can enter, edit, run, correct, and approve other's SV documents.</p> <p>Approval: this user can approve another user's PV, NO, and SV documents.</p> <p>Override Level: 9</p>	<p>Those working with Letter of Credit, Miscellaneous Disbursements by Foreign Embassies, and Sale of Assets.</p>

NOTE: These models are subject to change as work processes are reengineered and the initial implementation phase is completed.

Foundation Financial Information System (FFIS) and FFIS Data Warehouse User Registration/Change Request		1. System Name FFIS Application FF03 FFIS Data Warehouse Application: Yes		Exhibit 1
User Information (See Privacy Statement on Reverse)				
2. User's SSN		3. User's name (last, first, middle initial)		
4. User's title		5. User's mailing address		6. User's mail stop
7. User's organization				
8. User's E-mail address		9. User's phone number		10. Manager's phone number
11. Post of Duty (Location)		12. Office		
13. User Acknowledgment I have read the automated information systems security rules on the reverse side of this form and understand the security requirements of the automated information systems and/ or applications described on this form. I understand disciplinary action, removal from the agency/USDA, and/or criminal prosecution may be taken based on violation of these rules.				
User's signature				Date
Action Requested				
14. System location				
Name Change		15. Old name		16. New name
A C C E S S	17. <input checked="" type="checkbox"/> Add user (Check all that apply.) <input type="checkbox"/> Request for new password <input type="checkbox"/> Delete User <input type="checkbox"/> Modify user profile		19. Requested date	20. Effective date
	21. User ID/Logon			
	18. <input type="checkbox"/> Modify system profile (s) (Specify below.) <input type="checkbox"/> Applications access		22. Initial password (Part 4 only) BLANK	23. Password received (User initials) BLANK
24. Special instructions				
Background Investigation				
25. <input type="checkbox"/> Initiated <input type="checkbox"/> Completed		Date (Initiated or Completed)		Manager's signature
Authorization				
26. User's Manager - I certify the user has received security instructions for the systems and/or applications indicated, and I approve his/her access to these systems and/or applications, and the associated profiles.		(Print or type name, and sign)		Date
Action Taken				
27. Security Administrator				Date

FORM AD-1143

Foundation Financial Information System (FFIS) Security Rules

VIOLATION OF THESE RULES MAY RESULT IN DISCIPLINARY ACTION

1. **DO NOT ACCESS**, research, or change any account, file, record, or application not required to perform your official duties. You are forbidden to access your own account, that of a spouse, relative, friend, neighbor, or any account in which you have a personal or financial interest. If you are assigned to work on one of these accounts contact your supervisor.
2. If you are asked by another person to access an account or other sensitive or private information, **VERIFY** that the requested access is authorized. You will be held responsible if the access is not authorized. As a general rule, you should not use a computer or terminal in behalf of another person.
3. **PROTECT YOUR PASSWORD** from disclosure. You are responsible for any computer activity associated with your password. **DO NOT SHARE** your password with others or reveal it to anyone, regardless of his/her position in or outside the USDA. **DO NOT POST** your password in your work area. **DO NOT USE** another person's password. **USER IDs** must be treated with the same care as your password. Everything done with your user ID or password will be recorded as being done by you.
4. **PASSWORD DISTRIBUTION AND REFRESHMENT** must be done securely.
 5. **CHANGE YOUR PASSWORD** if you think your password is known by someone else. Immediately notify your supervisor or your Functional Security Coordinator or Security Representative. Passwords for FFIS and the FFIS Data Warehouse will be changed every 30 days as prompted by the system.
 6. **DO NOT PROGRAM** your login or password into automatic script routines or programs.
 7. **LOG OFF/SIGN OFF** if you go to lunch, or break, or anytime you leave your computer or terminal.
 8. **RETRIEVE ALL** hard copy printouts in a timely manner. If you cannot determine the originator or receiver of a printout, dispose of it in a burn waste container or shredder.
 9. **IDENTIFY ALL** sensitive applications or data that you will be placing on a system, and any equipment processing sensitive information to your supervisor, so that appropriate security measures can be implemented.
 10. **DO NOT USE USDA COMPUTERS** or software for personal use.
 11. **DO NOT USE PERSONAL EQUIPMENT** or software for official business without your supervisor's written approval.
 12. **DO NOT INSTALL OR USE UNAUTHORIZED SOFTWARE** on USDA equipment. Do not use freeware, shareware or public domain software on USDA computers, without your supervisor's permission and without scanning it for viruses. Comply with local office policy on the use of antiviral software.
13. **OBSERVE ALL SOFTWARE LICENSE AGREEMENTS.** Do not violate Federal copyright laws.
14. **DO NOT MOVE EQUIPMENT** or exchange system components without authorization by the appropriate functions and manager's approval.
15. **PROTECT USDA COMPUTER EQUIPMENT** from hazards such as liquids, food, smoke, staples, paper clips, etc.
16. **PROTECT MAGNETIC MEDIA** from exposure to electrical currents, extreme temperatures, bending, fluids, smoke, etc. Ensure the magnetic media is secured based on the sensitivity of the information contained, and practice proper labeling procedures. **BACK UP** critical programs and data, and store in a safe place. Back ups should be performed as often as program and data sensitivity require.
- DO NOT DISCLOSE THE TELEPHONE NUMBER(S)** or procedure(s) which permit system access from a remote location.
18. **DO NOT USE** sensitive information for equipment or program test purposes. Vendors should be escorted and monitored while performing maintenance duties.
19. **DO NOT DISCLOSE** or discuss any USDA personnel or vendor related information with unauthorized individuals. The Privacy Act of 1974, 5 USC 552a, prohibits such disclosure. A person making a willful unauthorized disclosure of information covered by this act may be charged with a misdemeanor and subject to a fine of up to \$5,000.
20. **PROMPTLY REPORT** all security incidents to your supervisor. For example: unauthorized disclosure of information, computer viruses, theft of equipment, software or information, and deliberate alteration or destruction of data or equipment.
21. **Complete this form when Duties Change, when you separate from your agency, and to report name changes or request profile changes.**

Privacy Act Notice

In compliance with the Privacy Act of 1974, the following information is provided: Solicitation of your Social Security Number is authorized by Executive Order 9397 of November 22, 1943 and 5 U.S.C. 301. The primary purpose of requesting the Social Security Number (SSN) is to properly identify the employee. Many employees have similar names and the furnishing of the SSN will enable USDA to identify authorized users of USDA's computer systems. The information will be used by offices and employees who have a need for the information in the performance of their official duties. The information will not be disclosed outside USDA. Disclosure of your SSN and other information is mandatory. Failure to provide the requested information will result in the denial of the requested computer access authority.

INSTRUCTIONS FOR THE PREPARATION OF FFIS ACCESS FORM

- BLOCK NUMBER 1 - FOUNDATION FINANCIAL INFORMATION SYSTEM (FFIS) AND/OR FFIS DATA WAREHOUSE
- BLOCK NUMBER 2 - ENTER THE USER'S SOCIAL SECURITY NUMBER (optional at this time).
- BLOCK NUMBER 3 - ENTER THE NAME OF THE USER.
- BLOCK NUMBER 4 - ENTER THE USER'S JOB TITLE OR CONTRACTOR IF NOT AN USDA EMPLOYEE.
- BLOCK NUMBER 5 - ENTER THE ADDRESS WHERE THE USER CAN BE CONTACTED BY MAIL.
- BLOCK NUMBER 6 - ENTER THE USER'S MAIL STOP OR ROOM NUMBER.
- BLOCK NUMBER 7 - ENTER THE USER'S ORGANIZATIONAL SYMBOLS OR ORG NAME.
- BLOCK NUMBER 8 - ENTER THE USER'S NORMAL TOUR OF DUTY.
- BLOCK NUMBER 9 - ENTER THE USER'S TELEPHONE NUMBER.
- BLOCK NUMBER 10 - ENTER THE TELEPHONE NUMBER OF THE USER'S MANAGER.
- BLOCK NUMBER 11 - ENTER THE LOCATION OF THE USER'S POST-OF-DUTY.
- BLOCK NUMBER 12 - ENTER THE NAME OF THE OFFICE AND THE OFFICE CODE NUMBER.
- BLOCK NUMBER 13 - THE USER MUST SIGN AND DATE, ACKNOWLEDGING USER HAS READ ATTACHED SECURITY RULES BEFORE BEING ALLOWED ACCESS OR USE OF FFIS OR THE FFIS Data Warehouse.
- BLOCK NUMBER 14 - LEAVE BLANK.
- BLOCK NUMBER 15 - THIS BLOCK IS TO BE USED WHEN CHANGING A USER'S NAME. ENTER THE USER'S "OLD" NAME.
- BLOCK NUMBER 16 - THIS BLOCK IS TO BE USED WHEN CHANGING A USER'S NAME. ENTER THE USER'S "NEW" NAME.
- BLOCK NUMBER 17 - CHECK THE APPROPRIATE ACTION TO BE TAKEN. SPECIFY IN BLOCK 24 WHICH FFIS PROFILE THE USER IS TO BE ASSIGNED OR WHICH FFIS DATA WAREHOUSE APPLICATION ACCESS IS REQUIRED.
- BLOCK NUMBER 18 - NOT APPLICABLE.
- BLOCK NUMBER 19 - THE DATE THE PROFILE REQUEST IS NEEDED.
- BLOCK NUMBER 20 - ENTER EFFECTIVE DATE-ESPECIALLY WHEN REQUESTING A USERID DELETION OR WHEN SEPARATING FROM THE AGENCY.
- BLOCK NUMBER 21 - ENTER THE USER'S FFIS AND/ OR FFIS DATA WAREHOUSE USERID FOR NAME CHANGES, PROFILE CHANGES OR DELETE ACTIONS. OTHERWISE, LEAVE BLANK.
- BLOCK NUMBER 22 - LEAVE BLANK.
- BLOCK NUMBER 23 - LEAVE BLANK.
- BLOCK NUMBER 24 - LIST NEW PROFILE REQUESTED, ACCESS TO FFIS WAREHOUSE APPLICATIONS (specify the application), OR ANY COMMENTS OR SPECIAL INSTRUCTIONS.
- BLOCK NUMBER 25 - ENTER THE USER'S "EMPLOYEE ON DUTY" (EOD) DATE IF EMPLOYEE HAS THREE YEARS OR MORE OF USDA or AGENCY SERVICE AND MUST BE SIGNED BY THE USER'S MANAGER OR ENTER "X" IN INITIATED BOX AND ENTER THE USER'S "EMPLOYEE ON DUTY" (EOD) DATE IF EMPLOYEE HAS LESS THAN THREE

YEARS OF USDA OR AGENCY SERVICE AND MUST BE SIGNED BY USER'S MANAGER.

BLOCK NUMBER 26 - PRINT THE NAME OF THE USER'S IMMEDIATE MANAGER. BLOCK MUST BE SIGNED AND DATED BY USER'S IMMEDIATE MANAGER, INDICATING THAT HE OR SHE HAS APPROVED THE REQUESTED ACTION.

BLOCK NUMBER 27 - FFIS SECURITY ADMINISTRATOR'S SIGNATURE.

Each completed form will be retained by the Agency's FFIS Security Administrator for audit purposes.

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Appendices

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Appendix A: Frequently Asked Questions

- Q.** Why will we continue using LOTS along with FFIS?
- A.** LOTS will be used for commitment accounting. If you are not entering commitments into FFIS for salaries, etc., FFIS will not reflect your available budget amounts. ARS plans to continue using LOTS for the first year FFIS is operational.
- Q.** How long does FFIS keep information in the inquiry tables, for example, REQH, REQL, OBLH, OBLL, PVHT, PVLt, etc.?
- A.** Information stays in the inquiry tables for several years.
- Q.** Who has access to view inquiry tables related to vendor payment inquiries?
- A.** Just about everyone who has access to FFIS will be able to view the inquiry tables needed to research payments. This inquiry ability allows you to see VNAME, VEND (except employee records), VXRf, OBLH, OBLL, DXRF, PVHT, PVLt, TSCH, and TSCL.
- Q.** Who has access to view employee records?
- A.** Only two people at each area and at headquarters can see employee records on the Vendor Table. Your ABFO can tell you who these individuals are.
- Q.** Does the PRCH purchase order number show up on the FFIS feeder documents (GA, GB, GC, GD)?
- A.** Yes, the purchase order number is displayed in the “Responsible Person” field in the FFIS feeder documents.
- Q.** Does the TDL show the P.O. number or the FFIS feeder document number?
- A.** The TDL shows the FFIS number, but not the P.O. number. If you know the FFIS number you can see the document number in the “Responsible Person” field on OBLH. If you are starting with the P.O. number, you can find the related FFIS document number on GIDT.

- Q.** Can I reconcile my PCMS purchases on-line in FFIS?
- A.** Yes, the “Agency Reference Number” in PCMS is displayed in the “Invoice” field on V5 and V8 documents in FFIS. While the PCMS field allows for more, FFIS will only allow you to enter up to 20 characters for this field.
- Q.** How many days does each cardholder have to update PCMS with the correct accounting information and/or the “Agency Reference Number”?
- A.** NFC has made a very, very strong recommendation (would like it to be a requirement) that all cardholders update PCMS within seven days of the original purchase.
- Q.** When I retrieve all rejected documents, open one of them, and then return to SUSF, I no longer see all rejected documents. Is this correct?
- A.** Yes, this is correct. Once you open a document from SUSF, you are actually going to another location in the database. Therefore, when you exit the document and come back to view SUSF, the data has been sorted sequentially, not by status.
- Q.** How are documents stored on the SUSF table?
- A.** Documents are stored in ascending order by Transaction Code, SEC1, and then Document Number.
- Q.** How long do rejected documents remain on the SUSF table?
- A.** Rejected documents stay on SUSF indefinitely – until they are corrected and processed.
- Q.** Who is responsible for making sure that there are no documents on SUSF with a status other than ‘Accepted’?
- A.** Refer to ARS Bulletin, *Error Correction and Management of SUSF*.
- Q.** Sometimes the volume of documents rejected on SUSF is more than I can manually scan. Is there a way to know how many documents are rejected?
- A.** Your Location can arrange to receive daily baseline reports notifying them of the volume of rejected documents on SUSF. These reports, or the information contained therein, can be requested through your Location.
- Q.** If I am unable to correct a rejected document and have exhausted my resources, what do I do?
- A.** Call the ARS Helpdesk. Your request will be routed to a group with the expertise to help you quickly resolve the issue.

- Q.** What do I do if the system goes down when I'm in a document?
- A.** Ensure that you free the document as soon as the system comes back up, otherwise it will remain locked and will not process.
- Q.** How long will ACCEPTED documents remain on SUSF?
- Q.** What is the timing for Commitments dropping out and Yes going in? We need to input Yes, but if RQ's are still there, we will be over obligated.
- A.** Unobligated commitments drop out of the system when the year is closed out. As a part of the year-end process, you can create a YE document to record an undelivered order (an obligation that has not been recorded in FFIS). Both the commitments and the obligations (orders) reduce availability of allotted funds.
- Q.** Where can we find a check number for a payment to a vendor?
- A.** The Treasury Schedule Control Line Inquiry Table (TSCL) lists the check or EFT sequence number associated with the payment.
- Q.** For what is the PRIORITY field on the RQ used? Does it mean anything for ARS?
- A.** The Priority field is for agencies that use the Inventory Subsystem. ARS is not using this subsystem, therefore the priority field will default to 99 but it is of no relevance to ARS.
- Q.** Is there a document numbering scheme for the RQ?
- A.** Document numbering schemes are provided in the Document Numbering Section in this reference material or the final draft of the training materials.
- Q.** What screens do I use to find out if a travel voucher has been paid?
- A.** The Travel Order Header Table (TOHT) shows the travel order amount and the closed amount (the paid amount). The Travel Voucher Header Table (TVHT) shows the amount paid to the employee.
- Q.** What screen do I use to find travel advances?
- A.** The Travel Advance Inquiry Table (TADV) shows advance amounts listed by employee code.
- Q.** What am I responsible for on SUSF?
- A.** Refer to ARS Bulletin, *Error Correction and Management of SUSF*.
- Q.** Who checks SUSF for rejected travel vouchers?
- A.** Refer to ARS Bulletin, *Error Correction and Management of SUSF*

Appendix B: Transactions Processed Directly in FFIS

Type of Spending Activity	Transactions Processed Directly in FFIS - FFIS Spending Chain						
	Current Process	Trans Code	Trans Type	Type of Transaction	Entered By	Source Document	On-Line Approval Required
Commitments	AD700	RQ 1 (Optional)	01	Commitment	Servicing Budget Fiscal Officer (SBFO), Location Area Officer (LAO)	Fund Holder	No
Major Construction	AD757-24E	MO (Ref.) M1 (Non-Ref.)	01 01	Obligation	Facilities Division (FD), NFC Reporting Section 4 (RS4) for Beltsville Area (BA) & Plum Island Animal Disease Center (PIADC)	SF1442 Signed Contract	No
	AD757-01E	PV	01	Payment	FD, RS4 (BA & PIADC)	ARS305 Signed & Approved Invoice	Yes

¹Use of an AD-700 is standard practice for all spending activities. However, entering an RQ document to commit funds within FFIS is optional and will be used when appropriate. If an RQ is entered, an MO document will be used to automatically liquidate the RQ; use of an M1 document will require manual liquidation of the RQ document. An M1 (non-referencing MO) will be used whenever an RQ is not appropriate.

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Transactions Processed Directly in FFIS

Type of Spending Activity	Transactions Processed Directly in FFIS - FFIS Spending Chain						
	Current Process	Trans Code	Trans Type	Type of Transaction	Entered By	Source Document	On-Line Approval Required
Property Leases	AD757-24E	MO (Ref.) M1 (Non-Ref.)	01 01	Obligation	RS4, Pacific West Area (PWA), Southern Plains Area (SPA)	Real Property Officer (RPO)	No
	AD757-01E	PV (1 Time Payment)	01	Payment (Direct Entry)	RS4, PWA, SPA	Signed Lease	Yes
	AD757-01E	PV (Recurring)	01	Payment (REPV)	RS4, PWA, SPA	Signed Lease	Yes
Acquisition of Real Property	N/A	MO (Ref.) M1 (Non-Ref.)	01 01	Obligation	RS4, PWA, SPA	----- -----	No
	AD757-01A	NO (Non-Ref.)	01	Obligation & Payment	RS4, PWA, SPA	Public Voucher 1034	Yes
	AD757-01E	PV (Ref.)	01	Payment	RS4, PWA, SPA	Pub. Voucher 1034	Yes
Training	AD742/AD757-05A	MO (Ref.) M1 (Non-Ref.)	01 01	Obligation	RS4, PWA, SPA	Signed SF-182	No
	AD742-USDA and Non-USDA OPAC & CAPS	DD (OPAC Federal)	OP	Direct Disbursement	RS4 ²	GOALS	No
	AD757-05A	PV (Non-Fed. Commercial)	01	Payment	RS4, PWA, SPA	N/A	Yes

² All agreements paid by OPAC will be handled by RS4 (including PWA and SPA).

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Transactions Processed Directly in FFIS

Type of Spending Activity	Transactions Processed Directly in FFIS - FFIS Spending Chain						
	Current Process	Trans Code	Trans Type	Type of Transaction	Entered By	Source Document	On-Line Approval Required
Contracts - service, supply, equipment, construction	AD757-24E	MO (Ref.) M1 (Non-Ref.)	01 01	Obligation	RS4, PWA, SPA	SF1442, SF30, SF33, SF26 Award Document	No
	AD757-01E	PV	01	Payment	Advance	Liquidate Adv.	ARS305 w/Inv.
	AD757-09A (Advance)	NO	AV	Payment	RS4, PWA, SPA	ARS305 with Invoice	Yes
	AD757-15B (Advance Liquidation)	NO	AV/01	Advance Liquidation/ Payment	RS4, PWA, SPA	ARS305 with Invoice	Yes

Type of Spending Activity	Transactions Processed Directly in FFIS - FFIS Spending Chain						
	Current Process	Trans Code	Trans Type	Type of Transaction	Entered By	Source Document	On-Line Approval Required
Extramural Agreements and Grants	AD757-24E	MO (Ref.) M1 (Non-Ref.)	01 01	Obligation	RS4, PWA, SPA	ARS451 Signed Agreement	No
	AD757-01E	PV	01	Payment	RS4, PWA, SPA	AR305 w/Approved Inv.	Yes
	AD757-08A (Advance)	NO	AV	Payment	RS4, PWA, SPA	ARS451	Yes
	AD757-14B (Advance Liquidation)	NO	AV/01	Advance Liquidation/ Payment	RS4, PWA, SPA	ARS305 with Invoice	Yes
	AD757-16C (Letter of Credit)	ND	OP	No Check Disbursement	RS4	Front-end from HHS based on HHS 224 Rept'g.	No
Research Support Agreement (RSA)	AD757-24E	MO (Ref.) M1 (Non-Ref.)	01 01	Obligation	RS4, PWA, SPA	OF347 Approval Document	No
	AD757-01E	PV	01	Payment	RS4, PWA, SPA	AR305 w/Approved Inv.	Yes
	AD757-06A (Advance)	NO	AV	Payment	RS4	ARS451	Yes
	AD757-12B (Advance Liquidation)	NO	AV/01	Advance Liquidation/ Payment	RS4, PWA, SPA	ARS305 with Invoice	Yes
	AD757-16C (Letter of Credit)	ND	OP	No Check Disbursement	RS4	Front-end from HHS based on HHS 224 Rpt'g.	No

Appendix B

Transactions Processed Directly in FFIS

Type of Spending Activity	Transactions Processed Directly in FFIS - FFIS Spending Chain						
	Current Process	Trans Code	Trans Type	Type of Transaction	Entered By	Source Document	On-Line Approval Required
Intergovernmental Personnel Act Agreement (IPA)	AD757-24E	MO (Ref.) M1 (Non-Ref.)	01 01	Obligation	RS4, PWA, SPA	OF69 Approval Document	No
	AD757-01E	PV	01	Payment	RS4, PWA, SPA	AR305 w/Approved Inv.	Yes
Outgoing Interagency Agreements	AD757-24E	MO (Ref.) M1 (Non-Ref.)	01 01	Obligation	RS4, PWA, SPA	AD672 or Agency Approval Doc.	No
	AD742-USDA & Non-USDA OPAC & CAPS	DD	OP	Direct Disbursement	RS4 ³	GOALS	No
	AD757-05E DOD & Non-OPAC Agencies	PV	01	Payment	RS4, PWA, SPA	Invoice	Yes
Work Study Agreement	AD757-24E	MO (Ref.) M1 (Non-Ref.)	01 01	Obligation	RS4, PWA, SPA	Agreement	No
	AD757-01E	PV	01	Payment	RS4, PWA, SPA	Invoice	Yes
Foreign Service Allowance and Benefits	AD757-01A	NO	01	Obligation & Payment	RS4	SF-1069 & SF-1170	Yes
Payroll Advance for Relocation Abroad	AD757-06A (Advance) ⁴	NO	AV	Obligation & Payment	RS4	----- -----	Yes
Nonexpenditure Transfer	AD757-02A, 02B, 02E, 02F	B2 (SV Clone)	TO	Std. Voucher Adjustment	RS4, SFBO, LAO	ARS-B2	Yes

³ All agreements paid by OPAC will be handled by RS4 (including PWA and SPA).

⁴ Payroll advances for relocation abroad are liquidated through the ABCO system.

Appendix B

Transactions Processed Directly in FFIS

Type of Spending Activity	Transactions Processed Directly in FFIS - FFIS Spending Chain						
	Current Process	Trans Code	Trans Type	Type of Transaction	Entered By	Source Document	On-Line Approval Required
Royalty Payments	AD757-01A	NO	01	Obligation & Payment	RS4	Request from Office of Technology Transfer	Yes
Print Orders	GPO	MO (Ref.) M1 (Non-Ref.)	01	Obligation	RS4	SF1 ⁵	No
	OPAC	DD	OP	Direct Disbursement	RS4 ⁶	GOALS	No
Miscellaneous Payments ⁷	AD757-01A	NO	01	Payment	RS4, PWA, SPA	Public Voucher 1034 or any other approval doc.	Yes
Miscellaneous Disbursement by Foreign Embassies	Disbursement with Obligation						
	AD757-24E	M1 (Non-Ref.)	01	Obligation	RS4	Signed Agreement	No
	AD757-25E	ND (Clone) *	OP	Disbursement	RS4	SF-1221	No
	Disbursement Only						
	AD757-28C & AD757-17C	D2 (Non Referencing DD Clone)	OP	Non-224 Disbursement	RS4	SF-1221	No

⁵ SF1's are no longer entered into CAPS. All SF1's are to go to RS4 (including SPA and PWA).

⁶ All agreements paid by OPAC will be handled by RS4 (including PWA and SPA).

⁷ Miscellaneous payments include public vouchers, one time payments, interlibrary loan costs, U.S. Postmaster, small package couriers (UPS, FedEx), EEO cash settlements, civil rights claims, MSPB personnel cash settlements (including attorney fees associated with settlement), Tort claims under \$25,000.

Type of Spending Activity	Transactions Processed Directly in FFIS - FFIS Spending Chain						
	Current Process	Trans Code	Trans Type	Type of Transaction	Entered By	Source Document	On-Line Approval Required
Period End Estimates (Undelivered Orders)	PC-PEST	YE (SV Clone)	UN	Estimate for Undelivered Orders	RS4, SBFO, LAO	LOTS Report or FFIS Report Identifying RQ(s)	Yes
	PC-PEST	YE (SV Clone)	DE	Estimate for Accrued Exp.	RS4, SBFO, LAO	LOTS Report	Yes
Greenbook Charges	Greenbook/Blue Book Estimates	M1	01	Obligation	Fiscal Operations Branch (FOB)	Greenbook Estimates	No
	OPAC	DD	OP	Direct Disb.	RS4 ⁸	GOALS	No
Security Clearances	OHRM Form	M1	01	Obligation	RS4	RS4, PWA, SPA	No
	OPAC	DD	OP	Direct Disbursement	RS4 ⁹	GOALS	No
Indirect Program Support Costs (IPSC)	Agreement	B2	TO	Standard Voucher	SBF	Agreement	Yes
Sale of Assets	AD-742	SV	BV	Revenue Balance Sheet Transfer	RS4	Memo or Appropriate Documentation	Yes
Deposit Accounts	AD757-06A (Advance)	NO	AV	Payment	RS4	Statement	Yes
	AD757-12B (Advance Liquidation)	NO	AV/01	Advance Liquidation/ Payment	RS4	ARS305 with Invoice	Yes

⁸ LOTS Report or FFIS Report Identifying RQ's

⁹ LOTS Report or FFIS Report Identifying RQ's

Appendix C: ARS Spending Document Numbering Scheme

Type of Payment	FFIS Documents Used	Document Number
Contracts	RQ, MO, M1, PV, NO	<p>Position 1 - 2: Contract Type (see following table in this appendix for contract type codes)</p> <p>Positions 3 - 6: GSA Activity Address Code (Issuing Office)</p> <p>Position 7: FY</p> <p>Positions 8 - 11: User Defined Contract No (4 digit, last two digits are 00)</p> <p>Example: 53 3K15 2 1400</p>
Indefinite Quantity Contracts	RQ, MO, M1, PV, NO	<p>Position 1 - 2: Contract Type (see following table in this appendix for contract type codes)</p> <p>Positions 3 - 6: GSA Activity Address Code (Issuing Office)</p> <p>Position 7: FY</p> <p>Positions 8 - 9: Contract No (2 digit)</p> <p>Positions 10 - 11: Task Order No</p> <p>Example: 53 3K15 2 1403</p>

Type of Payment	FFIS Documents Used	Document Number
Purchase Order Type 45	RQ, MO, M1, PV	Position 1 - 2: Type 45 PO Positions 3 - 6: GSA Activity Address Code (Issuing Office) Position 7: FY Positions 8 - 11: User Defined Sequential No (4 digit) Example: 45 3K15 2 0001
Agreements	RQ, MO, M1, PV, ND, NO	Position 1 - 2: Agreement Type (see following table in this appendix for contract type codes) Positions 3 - 6: Location Mode Code Position 7: FY Positions 8 - 11: User Defined Sequential No (4 digit) Example: 58 1907 2 0056 Foreign: 58 3625 2 F028

Appendix C: ARS Spending Document Numbering Scheme, *continued*

Type of Payment	FFIS Documents Used	Document Number
Research Support Agreement Task Orders	RQ, MO, M1, PV, ND, NO	Position 1: T (Task Order) Position 2: FY Positions 3 - 6: Location Mode Code Position 7-10: User Defined Sequential No (4 digit) Example: T 2 5310 0089
Miscellaneous Spending	RQ, MO, M1, PV, ND, NO, DD, D2	Position 1 - 3: Spending Type (3 alpha characters, see last table in this appendix for spending type codes) Positions 4 - 7: Location Mode Code Positions 8: FY Positions 9 - 11: User Defined Sequential No (3 digit) Example: TRG 6402 2 056
Recurring Payment Vouchers	REPV, PV, NO	Position 1 - 2: Contract/Agreement Type (see following table in this appendix for contract/agreement type codes) Positions 3 - 6: GSA Activity Address Code (Issuing Office) Position 7: FY Positions 8 - 9: User Defined Sequential No (2 digit) Example: 53 3K15 2 01

Type of Payment	FFIS Documents Used	Document Number
Standard Voucher Documents	SV, B2, YE	Position 1 - 4: Location Mode Code Positions 5 - 11: System Generated Sequential No (type # to enact) Example: 6402 0000001
All Batch Documents		Position 1 - 3: User's Initials Positions 4 - 6: User Defined Sequential No (3 digit) Example: LBA001

Appendix C: ARS Spending Document Numbering Scheme, *continued*

The following **contract/agreement types** will be used in ARS' document numbering scheme.

Contract/Agreement Type	Code
Construction	50
Service	53
Supply	54
Lease	57
Agreement	58
Grant	59
Interagency (new format)	60
IPA (new format)	69
Work Study (new)	56
POs	4X (40 for Type 40, 41 for Type 41, etc.)

The following **spending types** will be used in ARS' document numbering scheme.

Spending Type	Code
Training	TRN
Embassy Transactions	EMB
Security Clearance	SEC
Foreign Service Allowance	FSA
Payroll Advance (relocation abroad)	ADV
Royalties	ROY
Honoraria	HON
Print Order	PRN
Professional Liability Ins	PRF
Attorney Fees	ATT
Settlement (MSPB, EEO, etc.)	SET
Tort	TRT
Public Voucher	PUB
Greenbook	GRN
Deposit Accounts	DEP
Interlibrary Loans	ILL

Appendix D: Source Documents Supporting FFIS Transactions

Department of Agriculture (AD)

AD-202	Travel Authorization/Advance
AD-202-M	Travel Authorization/Advance, Attachment for Multiple Travelers
AD-202-R	Travel Authorization/Advance, Attachment for Relocation Travel
AD-202-RE	Travel Authorization/Advance, Attachment for Election of Separate Relocation Allowances
AD-287	Employee Suggestion
AD-287-2	Recommendation and Approval of Awards
AD-343	Payroll Action Request
AD-474	Transmittal – Telephone and Utilities
AD-581	Lump-Sum Leave or Compensatory Time Payments
AD-616	Travel Voucher (Temporary Duty Travel)
AD-616-R	Travel Voucher (Relocation)
AD-633	Multi-use Standard Requisitioning/Issue Document
AD-643	Transmittal GSA Motor Pool
AD-644	Transportation Services Distribution – GSA Motor Pool
AD-672	Reimbursement or Advance of Funds Agreement
AD-673	Request to Bill
AD-700	Procurement Request
AD-838	Purchase Order
AD-838-A	Purchase Order, Partial Receipt Notification
AD-838-B	Purchase Order, Invoice Receipt Certification
AD-838-D	Purchase Order, Blanket Purchase Order (BPA) – Invoice – Receipt Certification
AD-955	GSA Telephone Transmittal

Farm Service Agency (FSA)

FSA-875 Reimbursable Agreement

General Services Administration (GSA)

GSA-2957 Reimbursable Work Authorization

Government Printing Office (GPO)

GPO-2511 Print Order

National Finance Center (NFC)

NFC-631 Bill for Collection

Standard Forms (SFs)

SF-1	Printing and Binding Requisition to the Public Printer
SF-50	Request for Personnel Action
SF-85	Data for Non-sensitive or Non-critical Sensitive Positions
SF-85P	Questionnaire for Public Trust Positions
SF-86	Questionnaire for National Security Positions
SF-132	Apportionment and Reapportionment Schedule
SF-182	Request, Authorization, Agreement and Certification of Training
SF-1103	U.S. Government Bill of Lading (GBL)
SF-1109	U.S. Government Bill of Lading Continuation Sheet
SF-1113	Public Voucher for Transportation Charges
SF-1145	Voucher for Payment under Federal Tort Claims Act
SF-1151	Nonexpenditure Transfer Authorization
SF-1164	Claim for Reimbursement for Expenditures on Official Business
SF-1169	U.S. Government Transportation Request
SF-1200	Government Bill of Lading Correction Notice
SF-1203	U.S. Government Bill of Lading – Privately Owned Personal Property (PPGBL)

USDA Service Center Agencies (SCA)

SCA-4130 Employee Recognition Nomination and Approval

Appendix E: Budgetary and Financial Regulations and Procedural References

31 U.S.C., Sec. 1304 Money and Finance

United States Treasury Department

TFM Vol. I, Part 2, Ch. 2500	Treasury Financial Manual, Expenditure Transactions Between Appropriation, Fund, and Receipt Accounts
TFM Vol. I, Part 2, Ch. 2500	Treasury Financial Manual, Expenditure Transactions Between Appropriation, and Receipt Accounts

United States (Miscellaneous)

Fair Credit Reporting Act of 1970

Federal Regulations

5 CFR, Part 610	Civil Service Rules, Hours of Duty
5 CFR, Part 732	Civil Service Rules, National Security Position
41 CFR	Public Contracts and Property Management
48 CFR	Federal Acquisition Regulation (FAR) System
FTRs	Federal Travel Regulations
JFMIP	Joint Financial Management Improvement Program, Framework for Federal Financial Management Systems
Government Accounting Office	

GAO Manual Title 7 GAO's Policy and Procedures Manual for Guidance of
Federal Agencies – Fiscal Guidance

Office of Management and Budget (OMB)

OMB Circular A-34 Instructions on Budget Execution

USDA Regulations (DRs)

DR 1043-40	Assignment of Responsibilities for Review and Oversight of Working Capital Fund Activities
DR 1600	Facilities and Space Management
DR 3300	Telecommunications Management
DR 4100	Employee Development, Performance, and Utilization
DR 5000	Procurement Management
DR 5100	Real Property Management
DR 5400	Fleet Management
ATRs	Agriculture Travel Regulations

Financial Management Division Policy and
Procedures and Bulletins

Policy and Procedures:

- 320.1 Resource Management (ARS)
 - 321.1 Acceptance of Non-Appropriated Funds (Soft Funds)
 - 323.7 Review of Unpaid Obligations (ARS)
 - 323.8 Use of Prior Fiscal Year Appropriations (ARS)
 - 324.0 Reimbursable and Trust Fund Agreements (ARS)
 - 325.1 Funds Control at the Operating Level (ARS)
 - 326.0 Collections (ARS)
 - 327.2 Authorized Unit Certifying Officers (ARS)
 - 327.5 Advance Payments Prompt Payment (ARS)
 - 328.0 Claims Against non – Govt Persons, Orgns, or Entities (ARS)
 - 328.1 Waiver of Claims Against Employees for Overpayment of Pay & Allowances (ARS)
 - 329.5 Assess. Of Indirect Program Support Costs & Indirect Research Costs (ARS)
 - 330.0 Imprest Fund Operations (ARS)
 - 337.0 Field Party Advances (ARS)
 - 366.0 GAO and OIG Audit Programs (ARS)
- Bulletins:
- 01-309 ARS Foundation Financial Information System (FFIS) Support Help Desk Procedures
 - 01-310 Travel System (TRVL) Guidance
 - 01-311 Changes to PRCH/PCMS Interface to FFIS
 - 01-312 Error Correction and Management of the Document Suspense File (SUSF) in the ARS FFIS Application
 - 02-303 Vendor Coding for FFIS Travel and Other Payments

Procurement and Property Division

Policy Memorandum

- 04-01 Contract/Purchase Order Numbering

National Finance Center Procedures

- Title I, Ch. 1, Sec. 1 Payroll/Personnel Manual, Payroll Accounting, Payroll Accounting System (PACS)

- Title II, Ch. 2, Sec. 1 Voucher and Invoice Payments Manual, Travel and Transportation Payments, Travel System
- Title II, Ch. 2, Sec. 3 Voucher and Invoice Payments Manual, Travel and Transportation Payments, Common Carrier – Government Transportation Requests (GTRs)
- Title II, Ch. 2, Sec. 4 Voucher and Invoice Payments Manual, Travel and Transportation Payments, Common Carriers – Government Bills of Lading (GBLs)
- Title II, Ch. 2, Sec. 5 Voucher and Invoice Payments Manual, Travel and Transportation Payments, Government Transportation System (GVTS)
- Title II, Ch. 3, Sec. 1 Voucher and Invoice Payments Manual, Special Vendor Payments, Utility Vendors System (UTVN)

- Title II, Ch. 3, Sec. 3 Voucher and Invoice Payments Manual, Special Vendor Payments, Telephone Vendors System (TELE)
- Title II, Ch. 4, Sec. 1 Voucher and Invoice Payments Manual, General Services Administration (GSA) Payment Transactions, Federal Standard Requisitioning and Issue Procedures System (FEDSTRIP)
- Title II, Ch. 4, Sec. 2 Voucher and Invoice Payments Manual, General Services Administration (GSA) Payment Transactions, Motor Pool System (MPOL)
- Title II, Ch. 4, Sec. 5 Voucher and Invoice Payments Manual, General Services Administration (GSA) Payment Transactions, Federal Telephone System Payments (FTSP)
- Title II, Ch. 5, Sec. 1 Voucher and Invoice Payments Manual, Procurement Payment Activities, Purchase Order System (PRCH)
- Title II, Ch. 6, Sec. 6 Voucher and Invoice Payments Manual, Other Payments, Online Payment and Collection (OPAC)
- Title III, Ch. 4 Billings and Collections Manual, Administrative Billings and Collections (ABCO)
- Title VI, Ch. 6, Sec. 1 Systems Access Manual, Travel and Transportation, Travel Online Data Entry
- Title VI, Ch. 6, Sec. 2 Systems Access Manual, Travel and Transportation, Travel System Data Entry Procedures for Personal Computer (PC-TRVL)
- Title VI, Ch. 6, Sec. 3 Systems Access Manual, Travel and Transportation, Travel System Online Inquiry
- Title VI, Ch. 7, Sec. 1 Systems Access Manual, Procurement and Other Payments, Purchase Order Online Data Entry and Inquiry (PRCHENT)
- Title VI, Ch. 7, Sec. 3 Systems Access Manual, Procurement and Other Payments, Purchase Order Online Inquiry System (PRCHINQ)

- Title VI, Ch. 7, Sec. 9 Systems Access Manual, Procurement and Other
Payments, Personal Computer FEDSTRIP System (PC-
FEDS)
- Title VI, Ch. 7, Sec. 10 Systems Access Manual. Procurement and Other
Payments, FEDSTRIP Online Inquiry System
- Title VI, Ch. 7, Sec. 14 Systems Access Manual, Procurement and Other
Payments, Purchase Card Management System

Appendix F: FFIS Table Abbreviations and Full Names

Note: This appendix does not include General Ledger (GL) Tables.

Table Acronym	Table Name
ALLF	FTE ALLOTMENT INQUIRY TABLE
ALLT	ALLOTMENT INQUIRY TABLE
ALOC	ALLOCATION INQUIRY TABLE
ALST	ALLOTMENT STATUS INQUIRY TABLE
APOR	APPORTIONMENT INQUIRY TABLE
APPR	APPROPRIATION INQUIRY TABLE
ARCL	ACCOUNTS RECEIVABLE CASE HISTORY LINE INQUIRY TABLE
AREF	ACCOUNTS RECEIVABLE REFERRAL INQUIRY TABLE
ARHT	RECEIVABLE HEADER INQUIRY TABLE
ARLT	RECEIVABLE LINE INQUIRY TABLE
CRHT	CASH RECEIPT HEADER INQUIRY TABLE
CRLT	CASH RECEIPTS LINE INQUIRY TABLE
FALC	FISCAL YEAR ALLOCATION TABLE
FALT	FISCAL YEAR ALLOTMENT TABLE
FAPP	FISCAL YEAR APPROPRIATION INQUIRY TABLE
FAPR	FISCAL YEAR APPORTIONMENT INQUIRY TABLE
GIDT	GENERIC INTERFACE DOCUMENT *
GSCH	GENERIC SCHEDULE CONTROL HEADER INQUIRY TABLE
GSCL	GENERIC SCHEDULE CONTROL LINE INQUIRY TABLE
JVLT	JOURNAL VOUCHER LINE TABLE
OBDT	OUTSTANDING BILLING DOCUMENTS REFERENCE

Table Acronym	Table Name
	TABLE
OBLH	ORDERS HEADER TABLE
OBLT	PURCHASE ORDERS ACCOUNTING LINE TABLE
PVHT	PAYMENT VOUCHER HEADER TABLE
PVLT	PAYMENT VOUCHER LINE TABLE
RCHT	RECEIVER HEADER TABLE
RCLA	RECEIVER ACCOUNTING LINE TABLE
REJV	RECURRING JOURNAL VOUCHER AND STANDARD VOUCHER DATA ENTRY TABLE
REQH	REQUISITION HEADER TABLE
REQL	REQUISITION ACCOUNTING LINE TABLE
SAFR	SUBALLOTMENT FORWARD REFERENCE INQUIRY TABLE
SAIN	SUBALLOTMENT TABLE **
SALC	SUBALLOCATION INQUIRY TABLE
SALF	FTE SUBALLOCATION INQUIRY TABLE
SAOP	SUBALLOTMENT OPTIONS INQUIRY TABLE
SASP	SUBALLOTMENT SPENDING CONTROL INQUIRY TABLE
SAST	SUBALLOTMENT STRUCTURE INQUIRY TABLE
TADV	TRAVEL ADVANCE TABLE
TAHT	TRAVEL ADVANCE HEADER TABLE
TIDT	TRAVEL INTERFACE DOCUMENT *
TNHT	TRANSPORTATION INVOICE HEADER TABLE
TNLT	TRANSPORTATION INVOICE LINE TABLE
TOHT	TRAVEL ORDER HEADER TABLE
TOLT	TRAVEL ORDER LINE TABLE
TPLT	TRAVEL-RELATED VOUCHER LINE INQUIRY TABL
TVAT	TRAVEL VOUCHER ACCOUNTING LINE TABLE
TVHT	TRAVEL VOUCHER HEADER TABLE
VTXT	VOUCHER TEXT DATA ENTRY TABLE

* Updated by the interface. Others updated by the document.

** Updated by the nightly cycle.

All others updated by the document.

Appendix G: FFIS Transaction Codes, Types, and Categories

Trans Code	Trans Type	Trans Category	Purpose	Feeder
A1		BD	ABCO RECEIVER (OPAC)	ABCO
A2		CR	ABCO-CASH RECEIPT (OPAC)	ABCO
A3		CR	INTERFACE GENERATED-VOLUNTARY	ABCO
AA		AA	APPROPRIATION/APPORTIONMENT	
AS		AS	SUB-ALLOCATION APPROVAL/POST	
AV		PV	ADVANCE PAYMENT VOUCHER	TRVL
BE		BE	DIR BUDG POSTING DOC (REGION)	
BL		BL	DIR BUDGET POSTING DOC	
CM	RD			
DD	01	DD	DIRECT DISBURSEMENTS	
DF		DD	FTSP NO-CHECK DISBURSEMENT (OPAC)	FTSP
DM		DD	MPOL - NO-CHECK DISBURSEMENT DOC (OPAC)	MPOL

Trans Code	Trans Type	Trans Category	Purpose	Feeder
EA		RC	PRCH RECEIPT FOR TYPE 40 ORDER	PRCH
FO		MO	INTERFACE GENERATED-FEDS OBL	FEDSTRIP
FV		PV	INTERFACE GENERATED-FEDS PAYMENT	FEDSTRIP
FX				PCMS
G1		PV	GVTS - PAYMENT VOUCHER (TRAVEL AGENCY INVOICE)	GVTS
G2		TN	INTERFACE GENERATED - FEDS TRA (TRAVELER DETAIL)	GVTS
G3		SV	GVTS - STANDARD VOUCHER (CLEARING ACCOUNT REVERSAL)	GVTS
GA		MO	PRCH TYPE 40 OBLIGATION, INTER	PRCH
GB		MO	PRCH TYPE 41 OBLIGATION, INTER	PRCH
GC		MO	PRCH TYPE 42 OBLIGATION, INTER	PRCH
GD		MO	PRCH TYPE 43 OBLIGATION, INTER	PRCH
KA		DD	PRCH OPAC DISBURSEMENT-40 TYPE	PRCH
KB		DD	PRCH OPAC DISBURSEMENT-41 TYPE	PRCH
KD		DD	PRCH OPAC DISBURSEMENT-43 TYPE	PRCH
MO	01	MO	MISCELLANEOUS ORDER	
OD		DD	INTERFACE GENERATED-OPAC DISB	FEDSTRIP
PA		PA	APPORTIONMENT APPROVAL/POST	
PV	01	PV	PAYMENT VOUCHER	

Trans Code	Trans Type	Trans Category	Purpose	Feeder
RC		RC	RECEIVERS	TRVL
RQ	01	RQ	REQUISITION	
SA		SA	SUB-ALLOTMENTS	
SC		SV	CRED ACCRUAL DOCUMENT	GVTS
SE		SV	TELE ACCRUAL DOCUMENT	TELE
SF		SV	INTERFACE GENERATED-FED STA	FEDSTRIP
SL		SL	PENDING SUBALLOCATIONS	
SP		SV	PRCH STANDARD VOUCHER	PRCH
SU		SV	UTVN ACCRUAL DOCUMENT	UTVN
SV	01	SV	ACCOUNTING ADJUSTMENT FOR CLOSED EXPENDITURE	
SV	DE		PERIOD END ADJUSTMENT FOR PAID OBLIGATION	
SV	UN		PERIOD END ADJUSTMENT FOR UNLIQUIDATED OBLIGATION	
T1		TN	INTERFACE GENERATED-TRANSPORTATION	TRAN (GTR)
T2		TP	INTERFACE GENERATED-THIRD PARTY	TRAN (GBL)
TG		MO	TRAINING PURCHASE ORDER	PRCH/TRAINING
UV		PV	UTVN INVOICE VOUCHER	UTVN
V2			PAYMENT (GENERATED)	
V5			CARDHOLDER MODIFICATION	

Trans Code	Trans Type	Trans Category	Purpose	Feeder
V6			FFIS TRANSACTION AMOUNT CORRECTION	
V8			CARDHOLDER DETAILS	
VA		PV	PRCH PAYMENT FOR TYPE 40 ORDER	PRCH
VB		PV	PRCH PAYMENT FOR TYPE 41 ORDER	PRCH
VC		PV	PRCH PAYMENT FOR TYPE 42 ORDER	PRCH
VD		PV	PRCH PAYMENT FOR TYPE 43 ORDER	PRCH
VE		PV	PRCH PAYMENT FOR TYPE 45 ORDER	PRCH
VF		SV	FTSP ACCRUAL/SUSPENSE DOCUMENT	FTSP
VM		SV	MPOL SUSPENSE DOCUMENT	MPOL
VT		PV	TELE INVOICE VOUCHER	TELE
XA		TO	TRAV - TRAVEL ORDER	TRVL
XO		TO	TRAV - TRAVEL ORDER	TRVL
XP		TP	TRAV - THIRD PARTY PAYMENT	TRVL
XT		TV	TRAV - TRAVEL VOUCHER	TRVL
XV		TV	TRAV - TRAVEL VOUCHER	TRVL

Appendix H: Transactions by Responsible Office

Responsible Office	FFIS Document Type	Document Name	Feeder System
Direct-Entered Documents:			
BPMS	AA	Appropriation/Appportionment	
BPMS	BE	Allocation Budget Execution	
BPMS	PA	Appportionment/Approval	
BPMS	TA	Transfer	
BPMS	TC	Transfer Approval	
Location, SBFO, RS4	B2	Standard Voucher	
Location, SBFO, RS4	RQ	Commitment	
Location, SBFO, RS4	YE	Standard Voucher	
NFC	CX	Cancellation	
NFC	DD	Direct Disbursement	
NFC	NC	No Check	
NFC	O2	Standard Voucher	
NFC	RN	Recertification	
NFC	WR	Write Off	
NFC/RS4	ND	Direct Disbursement	

Responsible Office	FFIS Document Type	Document Name	Feeder System
PWA & SPA Area Offices, FD, FMD, RS4	M1	Miscellaneous Order	
PWA & SPA Area Offices, FMD, RS4	PV	Payment Voucher	
SBFO	BL	Allotment Budget Execution	
SBFO	SA	Suballotment	
Feeder System Generated:			
NFC	A0	ABCO Standard Voucher - Standard Voucher Document	ABCO
NFC	A1	ABCO Billing Document - Billing Document	ABCO
NFC	A2	ABCO Cash Receipt Document - Cash Receipt	ABCO
NFC	A3	ABCO Voluntary Collection - Cash Receipt Document	ABCO
NFC	A5	ABCO Refunds - Payment Voucher	ABCO
NFC	A6	ABCO OPAC Reversal - Standard Voucher Document (SV)	ABCO
NFC	A7	ABCO Bank Deposit - Cash Receipt Document (CR)	ABCO
NFC	A8	ABCO Suspense Postings - Standard Voucher Document	ABCO
NFC	A9	ABCO Unapplied Postings - Standard Voucher Document	

Responsible Office	FFIS Document Type	Document Name	Feeder System
NFC	AG	ABCO History/Closed - Standard Voucher Document (SV)	ABCO
NFC	DF	FTSP OPAC Disbursement	FTSP
NFC	DM	MPOL OPAC Disbursement	MPOL
NFC	DV	PROP Standard Voucher	PROP
NFC	FO	FEDS Obligation	FEDS
NFC	FV	FEDS Payment Voucher	FEDS
NFC	KA	PRCH Type 40 OPAC Disbursement	PRCH
NFC	KB	PRCH Type 41 OPAC Disbursement	PRCH
NFC	KD	PRCH Type 43 OPAC Disbursement	PRCH
NFC	OD	FEDS OPAC Disbursement	FEDS
NFC	RV	PRCH Foreign Currency Payment Voucher	PRCH
NFC	OS	OTRS Standard Voucher Document	OTRS
NFC	SF	FEDS Standard Voucher	FEDS
NFC	SP	PRCH Standard Voucher	PRCH
NFC	VF	FTSP Accrual/Suspense	FTSP
NFC	VM	MPOL Suspense	MPOL
NFC	WR	ABCO Write Off Document – Write Off Document	ABCO
RS4	V2	PCMS Payment Voucher	PCMS
SBFO	SU	UTVN Accrual Document – Standard Voucher Document	UTVN
SBFO	SW	CAPS Payment Voucher – Payment Voucher Document	CAPS
SBFO	UV	UTVN Payment Vouchers - Payment Voucher Document	UTVN

Responsible Office	FFIS Document Type	Document Name	Feeder System
SBFO/Card Holders	V5	PCMS Standard Voucher - Cardholder Modification	PCMS
SBFO/Human Resources	GW	PACS Default Accounting for Withholding	PACS
SBFO/Human Resources	GX	PACS Liability for Employee Withholding	PACS
SBFO/Human Resources	MP	PACS Self Reversing for M-cycles	PACS
SBFO/Human Resources	MS	PACS Self Reversing for M-cycles	PACS
SBFO/Human Resources	MT	PACS Self Reversing for M-cycles	PACS
SBFO/Human Resources	MW	PACS Self Reversing for M-cycles	PACS
SBFO/Human Resources	PY	PACS Standard Voucher	PACS
SBFO/Human Resources	TW	PACS Liability for Employee Withholding	PACS
SBFO/Human Resources	YA	PACS End of Period Accruals	PACS
SBFO/Procurement	EA	PRCH Type 40 Receiver	PRCH
SBFO/Procurement	GA	PRCH Type 40 Obligation	PRCH
SBFO/Procurement	GB	PRCH Type 41 and 41P Obligation	PRCH
SBFO/Procurement	GC	PRCH Type 42 Obligation	PRCH
SBFO/Procurement	GD	PRCH Type 43 Obligation	PRCH
SBFO/Procurement	VA	PRCH Type 40 Payment Voucher	PRCH
SBFO/Procurement	VB	PRCH Type 41 Payment Voucher	PRCH
SBFO/Procurement	VC	PRCH Type 42 Payment Voucher	PRCH
SBFO/Procurement	VD	PRCH Type 43 Payment Voucher	PRCH
SBFO/Procurement	VE	PRCH Type 45 Payment Voucher	PRCH
SBFO/Telecommunications	SE	TELE Accrual	TELE
SBFO/Telecommunications	VT	TELE Payment Voucher	TELE
SBFO/Travel	G1	GVTS Payment Vouchers - Payment Voucher Document	GVTS
SBFO/Travel	G2	GVTS Travel Invoice - Travel Invoice Document	GVTS

SBFO/Travel Responsible Office	G3 FFIS Document Type	GVTS Standard Voucher - Standard Document Document Name	GVTS Feeder System
SBFO/Travel	XG	TRVL Guest Treasury Symbol Voucher	TRVL
SBFO/Travel	XN	TRVL Standard Voucher	TRVL
SBFO/Travel	XO	TRVL Travel Order	TRVL
SBFO/Travel	XP	TRVL Payment Voucher (Relo)	TRVL
SBFO/Travel	XT	TRVL Travel Voucher (TDY)	TRVL
SBFO/Travel	XV	TRVL Travel Voucher (Relo)	TRVL
SBFO/Travel	XW	TRVL Withholding Tax Voucher	TRVL
SBFO/Travel	XZ	TRVL Payroll Zap	TRVL
SBFO/Travel/Procurement	T1	TRAN Invoice	TRAN
SBFO/Travel/Procurement	T2	TRAN Third Party Payment Voucher	TRAN

Appendix I: Accounting Adjustment Voucher-Instructions

Purpose: The Transfer and Adjustment Voucher (ARS-B2) will allow the FFIS user at Headquarters, Areas, and Locations to prepare a B2 hard copy form prior to entering the data into the FFIS system. The B2 is a self balancing form, meaning that the sum of all the increases and decreases must equal \$0.00.

Document ID: Is the unique document ID for this form.

Sec1: Enter your Area ID Number (e.g. Beltsville Area = 12)

Document Number: The document number for a B2 document is FFIS generated. It is comprised of the location code plus a system generated seven-digit number. Enter your location code. **Once FFIS assigns the document number, enter it on the hard copy B2 document.**

Date: Enter the date this document was prepared.

Page: Valid only for the continuation sheet. Enter the page number and total page numbers of this B2 document.

Period: Enter the accounting period for the document in the form of pp yy (e.g. 05 02 for February, 2002).

Line Number: Valid only for the continuation sheet. Enter the next line number, adding 1 to the last line number from the previous B2 sheet.

BFY: Enter the Beginning and (if applicable) Ending Budget and Fiscal Year.

Program: Enter the nine digit FFIS Program Code.

Reporting Category: Enter the Reporting Category (optional)

Amount: Enter the amount. The field is preformatted to include commas (,) and decimals (.). Do not enter a negative number!!

I/D: If the entered amount is positive, enter an I. If the entered amount is negative enter a D.

Document Referencing on a B2 document will not affect the original document, like a PV will for an M1 document, or an MO against an RQ document. It will, however, provide an aid to a researcher trying to track changes to amounts. Entering information in these columns is optional.

Transaction Category: Enter the type of document you are referencing (e.g. M1, MO, PV, NO, etc.)

Document ID: Enter the referenced document's Document ID Number. You do not have to enter the referenced document's SEC1 code.

Line Number: Enter the line number from the document you wish to reference. This field is not on the B2 document. It is included here for reference purposes.

TOTAL: The total amount of the document must equal \$0.00. If not, the total field is shown in red. If your B2 document uses continuation sheets, then the sum of the totals on each page must equal \$0.00.

Comments: Enter your comments.

Prepared by: Enter the preparer's name and phone number.

Approved by: The approving official should enter his/her name in this field.

After the B2 document has been accepted in FFIS, file the hard copy B2. The hard copy is needed to provide an audit trail.

Accounting Adjustment Voucher

Sec1 Code		Document Number						Page:		
Document ID: B2				Date:			Period:			
	Line Items						Referencing Document (op required for referencing			
Line Number	BF Y	Program	Reporting Category	BO C	Amount	I/D	Transaction Category	Document ID		
001										
002										
003										
004										
005										
006										
007										
008										
009										
010										
TOTAL					\$0.00					
Comments:										

Prepared by:	Phone:	Approved by:
--------------	--------	--------------

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